

2015 LPA Workload Study

Appendix A



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Glossary of Abbreviations and Terms

- CRES: Children’s residential program
 - AA: adoption agency
 - FFA: foster family agency (and sub-agencies)
 - CFH: certified family home
 - SFH: small family home
 - FFH: foster family home
 - GH+ group home plus crisis nurseries, temporary shelter care facilities, community treatment facilities, and out of state group homes
- ASC: Adult and senior care program
 - ARF: adult residential facility
 - RCFE+ residential care facility for the elderly plus residential continuing care retirement communities
 - SRF: social rehabilitation facility
 - RCFCL/SHN: residential care facilities for the chronically ill/for those with special health care needs
- CC: Child day care program
 - FCCH: family child care home
 - CC+ child preschool center plus centers for school age children, infants, and mildly ill children
- PA or program: program area, such as CRES, ASC, or CC
- CCIB: Centralized Complaint and Information Bureau
- Division: CCL in its entirety—typically all three program areas, excluding CCIB unless specifically noted
- Case: carrying LPAs: LPAs who work within one of the three program areas; does not include LPAs working in the CCIB bureau
- DAL: daily activity log, used by LPAs to record their daily work
- 15 minute row: one row of time on the DAL, recording an LPA’s actions for the given 15 minute block of time
- Activity: category of work, can refer to case work as well as non-case work
- Primary activity: refers to one of the following three basic case work categories: licensing application work, inspection work, and complaint investigations, as defined on the DAL
- Task: a component of an activity, as defined on the DAL
- Duty: non-specific word to describe LPA work, can refer to an activity or a task
- General supportive work: non-field work duties LPAs typically perform in the office, such as answering phones, attending meetings, caseload analysis, coordinating shared office tasks with other LPAs, filing, looking up files, etc.
- Field work: all duties related to a specific site visit, including travel, time at the facility, prep work, post visit paperwork, and related desk work
- Case work: facility-specific work, can refer to a specific primary activity (licensing, inspection, investigation) or other activities such as work done updating a plan of operation
- Other case work: facility-specific work not related to field work, used to distinguish facility work apart from field work
- Supplemental visit: visits that are typically associated with a primary activity: case management, plan of correction, collateral, joint, attempted
- PRA: public records act: work spent pulling together facility records at the request of the public
- IR/DR: initial incident or death report review considered a general supportive task when the incident is first reported to CCL. Further investigation recorded as case or field work, as appropriate
- PY: personnel year: 2,080 hours of work, minus 302 hours for standard benefits (vacation, holiday, sick time, other leave) and minus 89 training hours (5% of annual hours as per LPA duty

- statements), leaving 1,689 hours available for all LPA duties
- Extra LPAs: the number of LPAs each program area would have needed to accomplish undone work and overdue visits, according to data gathered during this study (total reported hours divided by the personnel year hours (1,689 annual hours))
 - KIT: Key Indicator Tool: used during inspections; contains 20 to 40 items LPAs must check during an inspection visit. Tailored to each facility type, and intended to streamline annual inspections and focus LPA attention to regulatory items associated with poorly performing facilities
 - Biennial: annual inspection conducted at least once every two years: a facility has a 50% chance of being inspected each year
 - Triennial inspections: annual inspection conducted at least once every three years: a facility has 33% chance of being inspected every year
 - Random (20% or 30%): LPAs conduct random annual inspections in 20% or 30% of facilities in addition to those facilities inspected under the biennial or triennial inspection frequency scenario in place
 - LIS: licensing Information System: facility-specific data repository
 - FAS: Field Automated System, CCL's data repository, with records of all facility visit reports and logs of incoming complaints
 - Visit citation report: data reported by LPAs in FAS, recording visits LPAs made or are overdue, by quarter and by year, all visit types. Also, a record of complaints received by each program
 - Overdue visit: reported on the Visit Citation reports, indicating application and inspection visits that LPAs did not perform, considered the first measure of undone work, incorporated into the "extra LPA" calculation
 - LPA post data collection survey: electronic survey administered to all LPAs after December 11th, 2015, asking about work that remained undone at the end of data collection. Recorded hours of general supportive duties, and counts of duties such as reviewing incident reports or processing waivers. Considered the second measure of undone work, and incorporated into the "extra LPA" calculation.
 - LPM: licensed program manager
 - LPM task tally: typical LPA duties performed by LPAs due to understaffing, reported during December 2015. Considered the third measure of undone work, annualized, incorporated into the "extra LPA" calculation
 - LPA Staffing Need: the total number of LPAs it takes to perform all annual work associated with a facility type or program area (total hours of work divided by one LPA's annual work hours); primarily uses anticipated numbers of applications, open facilities, and complaints along with the mandated number of routine inspections to project annual work hours
 - Budget Standard: the number of facilities one LPA can oversee in one year

Introduction to this Appendix

This appendix's structure follows the chapters presented in the 2015 LPA Workload Study report. It provides additional details about methodologies chosen and decisions made to provide the study's final results. We provide data at the division, program area, and facility type levels as appropriate and when possible. In general, these chapters provide the hard numbers supporting the report tables as follows:

- Chapter Two: Methodology
 - Cleaning submitted DAL data,
 - Using that data to find out how much time LPAs spend in the field,
 - How we measured undone visits and other backlogged work, and
 - How we projected future numbers of activities using CCL data sources and statutory regulations
- Chapter Three: DAL Data for Time per Task and Activity
 - Time per separate tasks within the primary activities,
 - Number of hours for all projected inspection hours, applications, complaint investigations, and
 - Number of hours for supplemental visits
- Chapter Four: DAL Data for Non field- Work Duties
- Chapter Five: LPA Staffing Needs and Budget Standards
 - LPA Staffing Needs based on the current 5 year/20% random inspection frequency mandate,
 - LPA Staffing Needs based on SB 79's three stages of changes to inspection frequencies
 - LPA Staffing Needs based on the alternate inspection scenario
 - LPA Staffing Needs broken out by the number of LPAs needed to perform all non-inspection work versus the number needed to perform each type of inspection frequency,
 - Budget Standards for all facility types, and
 - Hours per facility
- Chapter Six: CCIB

For the reader who wishes to understand the flow of calculated data points that create the LPA Staffing Needs tables in Appendix Chapter Five, and using adoption agency application data as the example:

- Appendix Table 2.15: There is an average of 7.5 adoption agency applications per year
- Appendix Table 3.1: One complete pre-licensing visit takes 5.18 hours, and one complete post licensing visit takes 5.53.
- Appendix Table 3.7's calculations assume one application will receive both pre- and post licensing visits: therefore it shows that the 7.5 pre-licensing visits time 5.18 hours per visit, plus the 7.5 post licensing visits time 5.53 hours per visit equals a total number of hours of application work in one year of 80.33 hours (for all 7.5 applications).
- That total (80.33 hours) is plugged into Appendix Table 5.1. This basic flow is repeated for inspections (274 hours), complaint investigations (14 hours), and supplemental visits (49 hours).
- Appendix Table 5.1 shows these total hours for the four types of activities, their sum (417 case work hours), their conversion to 866 total needed hours (417 is 48.16% of 866 hours of case and non-field work), and the number of LPAs needed to oversee that amount of work (.51 LPA).

Appendix Chapter Two: Methodology

Section A: Cleaning DAL data

Report Chapter Two describes how we worked with submitted DAL data, including the percent of LPAs who submitted data that we excluded from subsequent analysis due to issues such as missing data points, high proportion of activities with no associated tasks or other information, duplicated submissions with differing dates, etc.

Appendix Table 2.1 highlights the major data cleaning issues we experienced when examining the DAL data from the remaining LPAs' submissions. We also provide the solutions we employed.

Appendix Table 2.1: DAL Data Cleaning: Issues, Descriptions, and Solutions

Issue	Description	Solution
Extreme values	Typically single or very infrequent extremely high number of reported hours for a primary activity task	Excluded values higher than two standard deviations above the mean when appropriate
Lack of or inadequate number of visits for robust analysis	Some visit types happened infrequently or not at all during the data collection period	Substituted hours per visit using a similar facility type's number
		If no similar facility type, substituted the number of hours per visit reported in the 2001 workload study
Lack of or inadequate number of activity tasks	Field work tasks other than visits, for which we did not have comparable 2001 data due to methodological differences	Averaged the hours per task for the other facility types within the program area, and assigned that number where missing
Lack of trend data for projections	No visit of a given type in previous three year data reports	Projected one visit annually
CFH data not separated from FFA data in CCL FAS records	LPAs report visit work relative to a CFH under the CFH's FFA license number in FAS	Used CRES data showing what proportion of FAS complaint data for FFAs was truly relevant to a CFH, used the proportions to project future numbers of complaints and subsequent visits to the separate facility types (see explanation in report Chapter Two)
There are relatively distinct subgroups of facilities within a given facility type, based on the number of beds in the facility	Large group homes (50 or more beds) present a different workload picture than smaller group homes for complaint work	Separated average times per complaint investigation activity, specifically the average time per initial and subsequent visits (both visit types take longer in the larger group homes, on average)
	ARF and RCFE facility types also present differences when each type is broken out by capacity: 1 to 6 beds versus 7 or more beds	Separated average times per applications and complaints, specifically the average time per pre- and post licensing visits, and initial and subsequent investigation visits (visit types take longer in the larger ARFs and RCFEs, on average, for application and complaint work)

Facility types with a small number of facilities in the state	Crisis nurseries, temporary shelter care facilities, community treatment facilities, and out of state group homes	Combined the data points with group home data and treated the combined data as one facility type, referred to as “GH+” in the report
	RCFE and Continuing Care Rehab Centers	Combined the data points for these facilities and treated them as one facility type, termed “RCFE+”
	RCFCI and RFSHN	Combined the data points for these facilities and treated them as one facility type, termed “RCFCI/SHN” in the report
	CC for infants, school age children, and mildly ill children	Combined all child day care center data into one group, treated them as one facility type, termed “CC+”
Activities with no tasks	LPAs were instructed they must always provide, at a minimum, a task for any activity they would record, or the entry was unusable	We excluded activity entries with no accompanying task identified unless we could clearly determine the task by other methods
Missing facility codes	LPAs did not select a facility code from the drop down list when performing case/field work	Over many weeks, we extensively and exhaustively worked to identify appropriate codes and identifying information for all entries that were missing the important facility-specific identifying information (or had poorly entered information). For example, we examined adjacent rows of data, LPA id number, date of activity or task; facility, licensee or applicant name; reversed numbers or letters or facility id numbers in the complaint control field, etc. We resolved all but a small percent of missing/incorrect entries.
Missing facility license numbers	LPAs were instructed to very carefully enter all id and complaint control numbers so that we could link all work done for a given facility, otherwise the calculated total time per activity would be lower than it should be	
Incorrectly entered complaint control numbers		

Section B: Time LPAs spend performing field work

In order to determine how much work LPAs will need to do in the coming years, we need to have some reliable data-driven way to project their future activities. CCL maintains yearly records of visits, complaints, visits per complaint, etc. But much of an LPA’s duties are not strictly related to visits, and unfortunately CCL does not catalogue those duties in systematic, quantitative ways. Therefore, we build our hours projections in part by relying on the available yearly records, knowing they do not project all activities, and knowing we will have to include LPA hours to perform those non-projectable duties in some way.

The first step in this process is determining what proportion of time LPAs spend doing projectable activities. The second step is projecting the number of activities LPAs will perform in a year, the third step is multiplying the projected number by the time it takes to do each activity using that total number of hours with the proportion of time they’ll spend doing that work, to determine the overall number of hours needed to perform all duties, case and non-case work. The second step is described later in this chapter, and the third step in Appendix Chapter Five.

We determined the first step using the DAL data. For the purposes of determining a proportion of time spent working on case work rather than a number of hours of case work (the first step), we consider this sample reliable and appropriate. The following tables and figures illustrate how we used the data. The tables show the three general categories of DAL data: non field- work, i.e., general, supportive duties, case-specific work that is not related to field visits, and case work done in the field. The last category provides the key to the first step because it is comprised of projectable work. We will incorporate that key percent of time in formulae presented in Appendix Chapter Five. The key percent is highlighted in each table below.

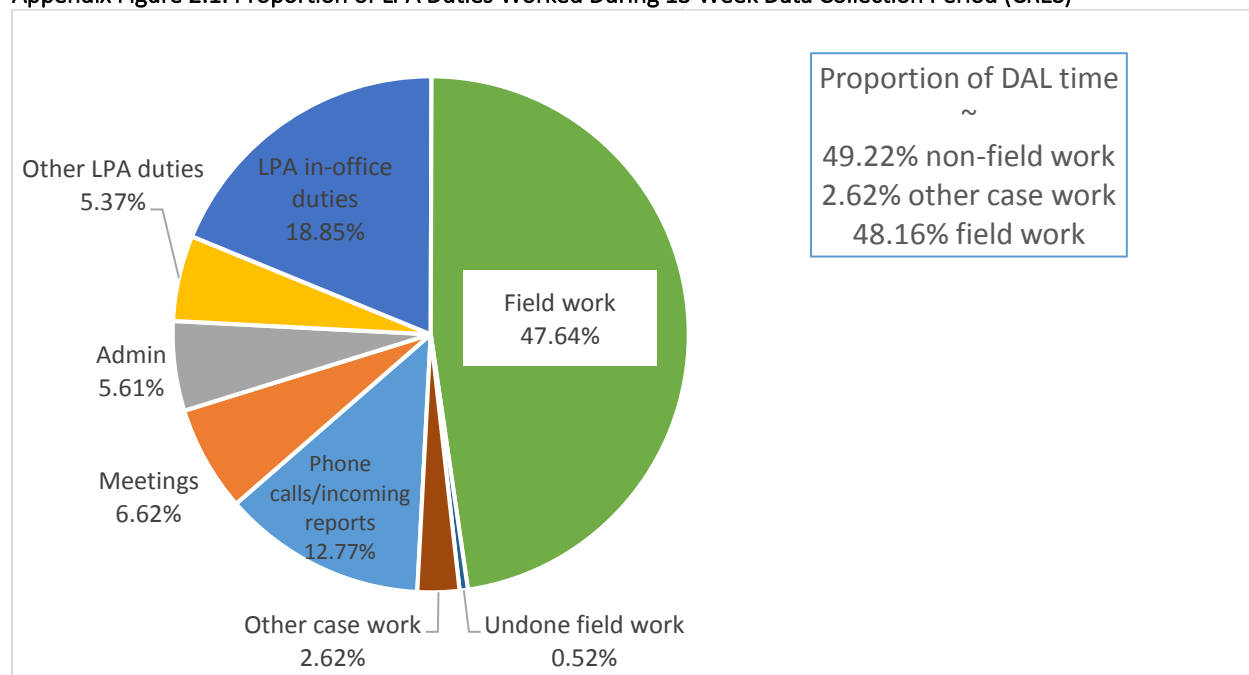
Note that we describe how we calculated the “undone field work” value in the next section of this chapter.

Appendix Table 2.2: Number and Percent of DAL Rows (15 Minutes Each) (Children’s Residential Program)

	Activity	Time on DALs (15 min rows)	Percent	Category percent
General supportive non-field work duties	Phone calls/incoming reports	14,408	12.77%	49.22%
	Meetings	7,467	6.62%	
	Administrative duties	6,335	5.61%	
	Other LPA duties	6,058	5.37%	
	LPA in-office duties	21,281	18.85%	
Other case work	Other case work	2,958	2.62%	2.62%
Field work	Field work	53,776	47.64%	48.16%
	Undone field work*	586	0.52%	
Total		112,869	100.00%	100.00%

* Undone field work: overdue license and inspection work, described later in this chapter

Appendix Figure 2.1: Proportion of LPA Duties Worked During 13 Week Data Collection Period (CRES)



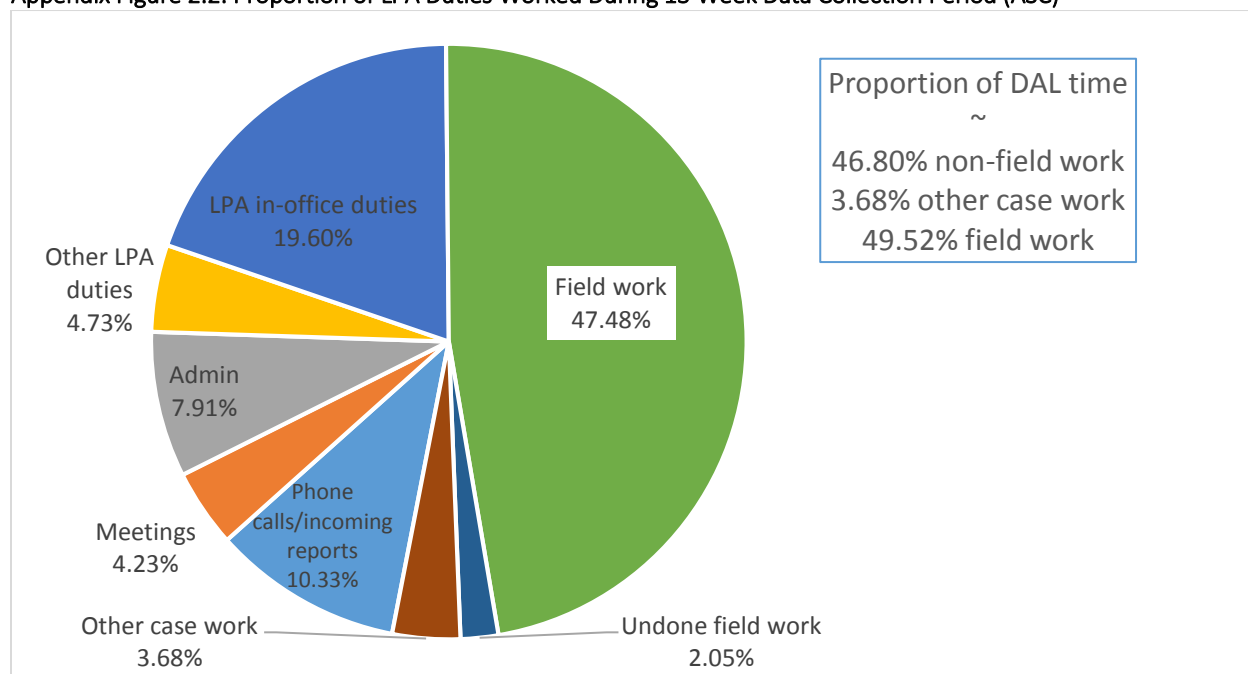
Undone field work: overdue license and inspection work, described later in this chapter

Appendix Table 2.3: Number and Percent of DAL Rows (15 Minutes Each) (Adult/Senior Care Program)

	Activity	Time on DALs (15 min rows)	Percent	Category percent
General supportive non-field work duties	Phone calls/incoming reports	22,110	10.33%	46.80%
	Meetings	9,054	4.23%	
	Administrative duties	16,935	7.91%	
	Other LPA duties	10,115	4.73%	
	LPA in-office duties	41,958	19.60%	
Other case work	Other case work	7,883	3.68%	3.68%
Field work	Field work	101,627	47.475%	49.52%
	Undone field work*	4,381	2.047%	
	Total	214,063	100.00%	100.00%

* Undone field work: overdue license and inspection work, described later in this chapter

Appendix Figure 2.2: Proportion of LPA Duties Worked During 13 Week Data Collection Period (ASC)



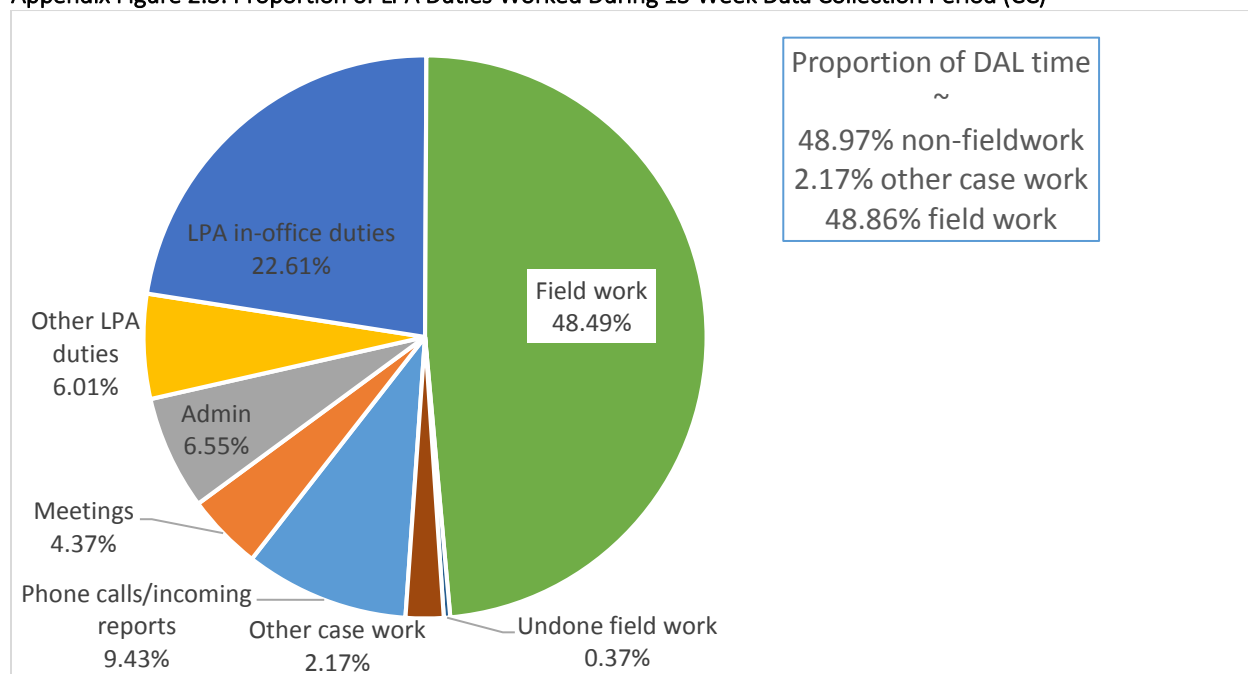
Undone field work: overdue license and inspection work, described later in this chapter

Appendix Table 2.4: Number and Percent of DAL Rows (15 Minutes Each) (Child Care Program)

	Activity	Time on DALs (15 min rows)	Percent	Category percent
General supportive non-field work duties	Phone calls/incoming reports	25,874	9.43%	48.97%
	Meetings	11,974	4.37%	
	Administrative duties	17,957	6.55%	
	Other LPA duties	16,475	6.01%	
	LPA in-office duties	62,014	22.61%	
Other case work	Other case work	5,958	2.17%	2.17%
Field work	Field work	132,996	48.49%	48.86%
	Undone field work*	1,014	0.37%	
Total		274,262	100.00%	100.00%

* Undone field work: overdue license and inspection work, described later in this chapter

Appendix Figure 2.3: Proportion of LPA Duties Worked During 13 Week Data Collection Period (CC)



Undone field work: overdue license and inspection work, described later in this chapter

Section C: Measures of undone visits and other work

There are several methods we can use to measure and account for work that is currently undone:

- Review records of overdue visits based on workflow (such as incoming license applications)
- Survey LPAs regarding work awaiting their attention
- Survey management staff for LPA work that the managers perform
- Determine how many visits should have occurred based on statute or trends (inspection frequency, number of complaints received), which we account for when projecting future primary activities (Section D in this chapter)

Overdue visits

We used the number of overdue visits for 2015 as reported in CCL's visit-citation reports, to determine how much time LPAs would have spent doing these visits (we multiplied the number by the calculated time per activity, and divided by four to approximate the 13 week data collection period). We want to add that time to the DAL time to approximate how much field work LPAs would have done if fully staffed.

However, we know that not all LPAs provided adequate records (roughly 85% turned in useable data). Those LPAs would not have performed all of the overdue visits, so we have to adjust this additional amount of field work by the percent of LPAs with good data before we add it to the useable DAL data presented in Appendix Tables 2.2, 2.3, and 2.4 (above). To adjust the data as if reported by those 85% of LPAs, we multiply the calculated time that should have been spent doing the visit by the percent of LPAs with good data, by program area.

We add that undone visit time to the LPA reported visit time for a more complete picture of the proportion of time LPAs spend doing field work (recalling that field work is the only type of work we can project).

Appendix Table 2.5: Number of Overdue Licensing and Annual Inspection Visits and Hours of Work (CRES)

Visit type	N overdue (2015)	Hours per visit (average for program area)	Total hours
Application	45	6.72	302.4
Inspection	70	5.2	364
Total undone hours (annual)			666.4
Converted to 15 minute rows (annual)			2,665.6
N undone 15 minute rows (13 weeks)			666.4
Weight (percent LPAs with good data)			88%
Total 15 minute rows missing during 13 weeks			586.4

Appendix Table 2.6: Number of Overdue Licensing and Annual Inspection Visits and Hours of Work (ASC)

Visit type	N overdue (2015)	Hours per visit (average for program area)	Total hours
Application	100	7.03	703
Inspection	738	6.2	4,575.6
Total undone hours (annual)			5,278.6
Converted to 15 minute rows (annual)			21,114.4
N undone 15 minute rows (13 weeks)			5,278.6
Weight (percent LPAs with good data)			83%
Total 15 minute rows missing during 13 weeks			4,381.2

Appendix Table 2.7: Number of Overdue Licensing and Annual Inspection Visits and Hours of Work (CC)

Visit type	N overdue (2015)	Hours per visit (average for program area)	Total hours
Application	0	0	0
Inspection	335	3.48	1,165.8
Total undone hours (annual)			1,165.8
Converted to 15 minute rows (annual)			4,663.2
N undone 15 minute rows (13 weeks)			1,165.8
Weight (percent LPAs with good data)			87%
Total 15 minute rows missing during 13 weeks			1,014.2

LPA undone work that was performed by management staff

LPM task tallies results

Another way we measured how much work LPAs were not performing was by asking their managers (LPMs) about how much time they spend doing LPA tasks. We asked the LPMs to record any LPA task they did during December 2015, and to provide the amount of time they spent doing that work. We multiplied the results by 12 to approximate an annual amount of time of undone LPA work. Please see the next two tables for those results.

Appendix Table 2.8: Categories, Frequencies, and Hours of LPA Work Performed by LPMs

Activity	N entries	Hours
Applications	20	38.17
Complaint investigation	5	11
Non-field work	120	203.82
Incident Investigation	5	4
Inspection	7	20.09
Legal Action	21	47.5
PRA	12	25.5
Subpoenas	6	14.75
Waiver/excep/etc.	19	20
Unknown	9	14.25
Total	223	399.08

Appendix Table 2.9: Hours per Category of LPA Work Performed by LPMs

Type of LPA work	CRES	ASC	CC	Division
Direct	18.5	43.59	11.17	73.26
Non-field work	53.17	99.41	51.24	203.82
Other case work	27.67	47.08	33	107.75
Uncategorized	8	2	2.25	14.25
Total hours	109.34	192.08	97.66	399.08
Annualized	1,312.08	2,304.96	1,171.92	4,788.96

Undone work according to LPAs

LPA post-data collection survey results

In addition to visits that LPAs have not been able to perform, we know that other work is backlogged. To measure this, we administered a post-data collection survey to all LPAs. We asked the LPAs to report how many hours they estimated it would take to complete the general office work they did not get to during the study period, and also to count how many discrete case-specific tasks they had not yet done. Appendix B has the text of the survey questions. We combined the reported general office work hours with time calculated to perform the undone discrete tasks to approximate the amount of undone non-field work remaining at the close of data collection. However, we did not ask about how complete the discrete tasks were; to account for this, instead of multiplying the number of tasks by the average amount of time it takes to perform that task, we used half the average amount of time. Doing this assumes that some tasks are almost complete, some are just started, and the rest are somewhere in the middle.

Another wrinkle in this measure is that not all LPAs responded to our survey request, and therefore we had to adjust the results by the survey response rate, assuming that the responding LPAs represent all LPAs well enough. The response rates varied by program area from 65% in CRES to 77% in CC (ASC's response rate was 72%). We adjusted the calculated hours of undone work by weighting the hours "up" to represent 100% of time. To do this we multiplied the calculated hours by the reciprocal of the response rate. Please see these calculations in the next three tables.

Appendix Table 2.10: LPA Post-Data Collection Data: Number and Hours of Undone Case Work and General Supportive Non-field Work (CRES)

Supportive duties	Reported	Hours per	Completeness adjustment	Total Hours	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N hours	306	1	N/A	306	88	57	65%	1.54	472.42
N IR/DR to review	747	1.7	N/A	21.17	88	57	65%	1.54	32.68
				Total hours supportive work not done					505.1
				Annualized LPA supportive duty hours					2,020
Case work	N reported not completed	Hours per activity	Completeness adjustment**	Total hours undone work	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N IR/DR investigations	273	6.79	3.395	926.84	88	57	65%	1.54	1,430.9
Waiver/excep/appeal/evictions	89	1.28	0.64	56.96	88	57	65%	1.54	87.94
Legal actions	31	2.3	1.15	35.65	88	57	65%	1.54	55.04
PRA/subpoenas	5	5.78	2.89	14.45	88	57	65%	1.54	22.31
				Total hours case work not done					1,596.19
				Annualized LPA case work hours					6,385
				Annualized LPA supportive duty hours					2,020
				Total undone hours reported by LPAs					8,405

*Weight: reciprocal of the response rate ($1.54 = 1 / .65$)

**Completeness adjustment: as determined by the Workgroup Committee, we used one-half of hours per given activity when calculating undone work hours, since we do not know the exact amount of work remaining to complete each activity

Appendix Table 2.11: LPA Post-Data Collection Data: Number and Hours of Undone Case Work and General Supportive Non-field Work (ASC)

Supportive duties	Reported	Hours per	Completeness adjustment	Total Hours	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N hours	1,238	1 hour	N/A	1,238	166	119	72%	1.39	1,726.96
N IR/DR to review	1,700	0.63 min	N/A	17.85	166	119	72%	1.39	24.9
				Total hours supportive work not done					1,751.86
				Annualized LPA supportive duty hours					7,007
Case work	N reported not completed	Hours per activity	Completeness adjustment**	Total hours undone work	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N IR/DR investigations	445	6.64	3.32	1,477.4	166	119	72%	1.39	2,060.91
Waiver/excep/appeal/evictions	314	1.11	0.56	174.27	166	119	72%	1.39	243.1
Legal actions	71	3.31	1.66	117.51	166	119	72%	1.39	163.91
PRA/subpoenas	28	2.27	1.14	31.78	166	119	72%	1.39	44.33
				Total hours case work not done					2,512.26
				Annualized LPA case work hours					10,049
				Annualized LPA supportive duty hours					7,007
				Total undone hours reported by LPAs					17,056

*Weight: reciprocal of the response rate ($1.39 = 1 / .72$)

**Completeness adjustment: as determined by the Workgroup Committee, we used one-half of hours per given activity when calculating undone work hours, since we do not know the exact amount of work remaining to complete each activity

Appendix Table 2.12: LPA Post-Data Collection Data: Number and Hours of Undone Case Work and General Supportive Non-field Work (CC)

Supportive duties	Reported	Hours per	Completeness adjustment	Total Hours	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N hours	962	1	N/A	962	200	154	77%	1.3	1,249.35
N IR/DR to review	280	3.32	N/A	15.49	200	154	77%	1.3	20.12
				Total hours supportive work not done					1,269.47
				Annualized LPA supportive duty hours					5,078
Case work	N reported not completed	Hours per activity	Completeness adjustment**	Total hours undone work	N LPAs surveyed	N LPAs responded	Response rate	Weight*	Adjusted hours
N IR/DR investigations	186	7.05	3.53	655.65	200	154	77%	1.3	851.49
Waiver/excep/appeal/evictions	230	0.71	0.36	81.65	200	154	77%	1.3	106.04
Legal actions	51	3.35	1.68	85.43	200	154	77%	1.3	110.94
PRA/subpoenas	3	1.52	0.76	2.28	200	154	77%	1.3	2.96
				Total hours case work not done					1,071.43
				Annualized LPA case work hours					4,286
				Annualized LPA supportive duty hours					5,078
				Total undone hours reported by LPAs					9,364

*Weight: reciprocal of the response rate ($1.3 = 1 / .77$)

**Completeness adjustment: as determined by the Workgroup Committee, we used one-half of hours per given activity when calculating undone work hours, since we do not know the exact amount of work remaining to complete each activity

How we used the LPA and LPM undone work measures

We combined the total number of hours of undone work as calculated using the LPA post-data collection survey and the LPM work tallies. At the request of the Workgroup Committee, we did not add that time to the DAL data presented in Appendix Tables 2.2, 2.3, and 2.4, but calculated the number of LPAs it would take to perform that amount of hours for each program area (by dividing the total hours by 1,689 hours per LPA per year). The total number of hours and needed LPAs are displayed in the report Table 2.4.

However, because the undone work was not linked to specific types of facilities, we are unable to assign those extra LPAs to any facility types within a program area; we simply added this number of extra LPAs to the program area total needed LPAs. This is shown in Appendix Tables 5.1 through 5.6 (beginning page 39). The number of extra LPAs in CRES is 5.75, 11.64 in ASC, and 6.24 in CC.

Section D: How we projected annual numbers of activities using CCL data sources

Remark regarding projection bases

The projected number of inspections that should occur is based wholly on mandated inspection frequency requirements rather than past visit counts. This method accounts for any concern that the projected number of LPAs will not be adequate to perform all inspections.

In general we do not project annual field work activities simply based on work performed while the division is understaffed for the following reasons:

- We would underestimate the amount of work that a fully staffed division would perform because by definition they would not perform all the work that should have occurred
- We would underestimate the amount of time an LPA should spend on one application, assuming that each application (if approved) would require both pre-licensing and post licensing visits (except in child care), and assuming that LPAs are not currently always performing both visits, we would have an inaccurate projection of post licensing visits

We do not base all complaint workload projection components on a simple three year average of open facilities of received complaints:

- We would obscure an increase in reported complaints *relative to the number of open facilities* if we simply averaged three years of complaints received (which would smooth out an increasing rate of complaints), therefore underestimating yet again the case workload. To develop a rate of complaints, we use a forecast formula rather than the three year averaged number of received complaints
- However, we do average three years of data to get the projected number of open facilities, because the number of open facilities each year appears relatively stable
- We also average the ratio of the number of investigation visits needed to complete one complaint, assuming that ratio is also relatively stable

Projecting inspections

The following table shows the average number of open licensed facilities, based on the three previous calendar years of data supplied by CCL.

Appendix Table 2.13: Average Number of Open, Licensed Facilities (2013, 2014, 2015, CCL data)

	Children's Residential					Adult/Senior Care					Child Care	
	AA	FFA	SFH	FFH	GH+	ARF	RCFE+	SRF	ADP	RCFCI/ SHN	FDC	CC+
Licensed facilities	119	420	160	3,048	1,149	5,050	7,497	102	964	53	31,837	14,697

(Data source: CCL)

When we have the anticipated number of facilities in a given facility type, we apply an inspection frequency schema based on statute. As of this writing, at a minimum, 20% of the state's community care licensing facilities are subject to a random annual routine inspection, and facilities should be inspected no less often than once in five years.¹

For this current 5 year/20% random inspection regulation, roughly 36% of facilities can be expected to be inspected in any given year: for every 100 facilities, the five year inspection requirement means 20 facilities would be inspected (one fifth of 100 facilities every year), and 16 more would be inspected under the 20% random inspection requirement (100 facilities minus 20 leaves 80 facilities, and 20% of those 80 is 16 facilities). Essentially one third of all open facilities would be inspected every year, if the division were fully staffed.

Anticipated future minimum inspection frequencies will require that facilities be inspected no less often than once per three years (triennial inspections with 30% random), once per two years (biennial with 20% random), or once per year (annual, no random inspections necessary). The implementation schedule, as determined in Senate Bill 79 (discussed in the report Chapter One), requires the following:

Appendix Table 2.14: Increasing Inspection Frequency Implementation Schedule by Year and Program Area (SB 79)

Time frame		CRES	ASC	CC
Beginning Jan 1, 2017	Inspection frequency	Three years	Three years	Three years
	Percent random inspections	30%	30%	30%
	Number of inspections per 100 facilities	53	53	53
Beginning Jan 1, 2018	Inspection frequency	Two years	Two years	Three years
	Percent random inspections	20%	20%	30%
	Number of inspections per 100 facilities	60	60	53
Beginning Jan 1, 2019	Inspection frequency	Two years	One year	Three years
	Percent random inspections	20%	0%	30%
	Number of inspections per 100 facilities	60	100	53

Projecting applications

CCL provided two years of data of application outcomes by facility type. We added together the approved and provisionally approved data, assuming that those outcomes typically required more work (due to pre- and post licensing activities) than applications that were withdrawn or denied.² When projecting applications, we did not incorporate the average number of open facilities, just the averages displayed in this next table:

¹ There are exceptions to this statute, namely for foster family homes and facilities subject to required annual inspections due to prior non-compliance issues, funding sources, or other reasons.

² We acknowledge, as pointed out in the Limitations section of the report Chapter Five, that at this time our calculations do not account for time LPAs spend working on applications that were ultimately withdrawn or denied.

Appendix Table 2.15: Number of Approved and Provisionally Approved Applications, Two Year Averages

	Children's Residential					Adult/Senior Care					Child Care	
	AA	FFA	SFH	FFH	GH+	ARF	RCFE+	SRF	ADP	RCFCI/ SHN	FDC	CC+
2014/2015 average	7.5	22	6	413	52.5	177	340.5	6	40	1.5	2,751	661

(Data source: CCL)

Projecting complaints

We use several data sources when calculating the total time necessary to complete one complaint:

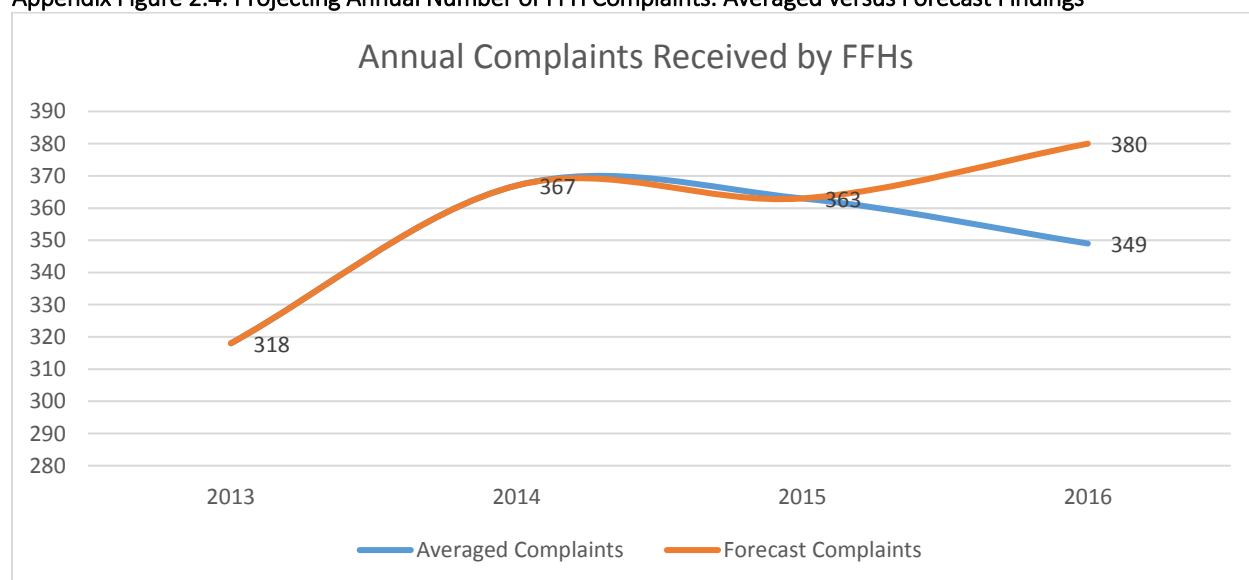
- Number of complaints
- Number of open facilities
- Number of visits per completed complaint

Rate of complaints per facility type: As shown in the following three tables, we create a yearly rate of complaints using the number of complaints received divided by the number of open facilities each year. We then forecast a rate of complaints received per open facility, rather than simply averaging the three year complaint rates. To see how forecasting a rate of complaint versus averaging the three years of complaints plays out, we can look at foster family home numbers:

FFHs had 318, 367, and 363 complaints per year for the last three years, averaging 349 complaints per year, which would indicate that the number of complaints in FFHs is declining.

To get the rate of complaints in FFHs each year, we divide each year's number of complaints by the number of open facilities each year. FFHs had 3,002, 3,011, and 3,132 open facilities each year, which averages out to 3,048 facilities. Using these data, the yearly rates of complaints becomes .106, .122, and .116. These rates average out to .115 complaints per facility (349 complaints divided by 3,048 facilities). But forecasting a rate yields .125: the rate is trending upward, while the average is not. The forecast rate of complaints projects 379.7 complaints, which is 30.7 complaints more than the average rate of 349 described above. Appendix Figure 2.4 portrays this difference visually.

Appendix Figure 2.4: Projecting Annual Number of FFH Complaints: Averaged versus Forecast Findings



In all but one facility type (adoption agencies), the forecast rate of complaints per facility was higher than an average rate of complaints per facility. Given the small number of complaints lodged against adoption agencies, and for methodological consistency, we chose to use the forecast future complaints against adoption agencies figure rather than an average rate.

Number of projected complaints: We calculated the projected number of complaints by multiplying the ratio of complaints per facility by the projected average number of open facilities. The number of projected complaints in the next three tables is used in the full complaint hours calculations seen in Appendix Tables 3.10, 3.11, and 3.12.

Visits per completed complaint: Appendix Table 2.19 shows the average number of visits it takes to fully complete one complaint, which we convert into a ratio of visits per complaint. Following along with FFHs, their complaints take an average of 1.91 visits to complete (this figure will be used in Appendix Tables 3.10, 3.11, and 3.12).

Appendix Table 2.16: Number of Complaints Received and Rate of Complaints per Facility 2013, 2014, and 2015, and Forecast Projected Rate of Complaints (CRES)

	2013	2014	2015	Projected	
AA complaints	4	0	3	2.33	Averaged complaints
N facilities	124	119	115	119	Averaged N facilities
Rate complaint per facility	0.032	0.000	0.026	0.013	Forecast complaint rate
				1.58	Forecast complaints
FFA complaints	53	54	57	54.81	Averaged complaints
N facilities	426	421	415	421	Averaged N facilities
Rate complaint per facility	0.125	0.129	0.137	0.143	Forecast complaint rate
				60.22	Forecast complaints
CFH complaints	2,317	2,371	2,489	2,392.19	Averaged complaints
N facilities	11,034	11,034	11,034	11,034	Averaged N facilities
Rate complaint per facility	0.210	0.215	0.226	0.232	Forecast complaint rate
				2,564.24	Forecast complaints
SFH complaints	38	44	53	45.00	Averaged complaints
N facilities	171	159	152	161	Averaged N facilities
Rate complaint per facility	0.222	0.277	0.349	0.409	Forecast complaint rate
				65.71	Forecast complaints
FFH complaints	318	367	363	349.33	Averaged complaints
N facilities	3,002	3,011	3,132	3048	Averaged N facilities
Rate complaint per facility	0.106	0.122	0.116	0.125	Forecast complaint rate
				379.65	Forecast complaints
GH + complaints	1,286	1,344	1,518	1,382.67	Averaged complaints
N facilities	1,151	1,162	1,135	1,149	Averaged N facilities
Rate complaint per facility	1.117	1.157	1.337	1.424	Forecast complaint rate
				1,636.58	Forecast complaints

(Data source: CCL)

Appendix Table 2.17: Number of Complaints Received and Rate of Complaints per Facility 2013, 2014, and 2015, and Forecast Projected Rate of Complaints (ASC)

	2013	2014	2015	Projected	
ARF complaints	1,603	1,550	1,727	1,626.67	Averaged complaints
N facilities	5,060	5,055	5,033	5049	Averaged N facilities
Rate complaint per facility	0.317	0.307	0.343	0.349	Forecast complaint rate
				1,759.81	Forecast complaints
RCFE complaints	3,282	3,320	4,029	3,543.67	Averaged complaints
N facilities	7,502	7,502	7,487	7497	Averaged N facilities
Rate complaint per facility	0.437	0.443	0.538	0.573	Forecast complaint rate
				4,298.56	Forecast complaints
SRF complaints	22	20	37	26.33	Averaged complaints
N facilities	99	102	104	102	Averaged N facilities
Rate complaint per facility	0.222	0.196	0.356	0.392	Forecast complaint rate
				39.81	Forecast complaints
ADP complaints	220	196	230	215.33	Averaged complaints
N facilities	955	962	976	964	Averaged N facilities
Rate complaint per facility	0.230	0.204	0.236	0.229	Forecast complaint rate
				220.39	Forecast complaints
RCFCI/SHN complaints	12	16	42	23.33	Averaged complaints
N facilities	50	53	56	53	Averaged N facilities
Rate complaint per facility	0.240	0.302	0.750	0.941	Forecast complaint rate
				49.85	Forecast complaints

(Data source: CCL)

Appendix Table 2.18: Number of Complaints Received and Rate of Complaints per Facility 2013, 2014, and 2015, and Forecast Projected Rate of Complaints (CC)

	2013	2014	2015	Projected	
FCCH rec'd complaints	2,072	2,071	2,285	2,142.67	Averaged complaints
N facilities	32,859	32,094	30,559	30,497	Averaged N facilities
Rate complaint per facility	0.063	0.065	0.075	0.079	Forecast complaint rate
				2,414.43	Forecast complaints
CC+ rec'd complaints	2,088	2,251	2,562	2,300.33	Averaged complaints
N facilities	14,721	14,681	14,688	14,690	Averaged N facilities
Rate complaint per facility	0.142	0.153	0.174	0.189	Forecast complaint rate
				2,778.19	Forecast complaints

(Data source: CCL)

Appendix Table 2.19: Ratio of Visits per Completed Complaint by Facility Type, All Facility Types (Data Source: CCL)

	AA	FFA*	SFH	FFH	GH+	ARF	RCFE+	SRF	ADP	RCFCI/ SHN*	FDC	CC+*
N completed complaints	2	1,586	34	247	896	1,041	2,360	25	161	27	1,991	2,228
N visits per complaint	3	4,743	74	473	1,935	1,827	4,016	33	259	51	3,527	3,998
Ratio visits per complaint	1.5	2.99	2.18	1.91	2.16	1.76	1.70	1.32	1.61	1.85	1.77	1.79

(Data source: CCL)

* Averaged within facility type group

Allocating projections to FFA and CFH when using FAS data

CCL's data reporting system does not allow LPAs to enter certified family home-specific visit data under a unique CFH facility number. LPAs must enter the license number of the foster family agency of record. This complicated adequately projecting future visit workload volume. CRES staff provided tallies of complaints filed against CFH and against FFA. We used that information to determine a way to parse out projected visit volume, assuming that the proportion is reliable enough for visit projections. Appendix Table 2.20 shows the number of complaints lodged against FFAs and CFHs, allowing us to determine an average percent of complaints that appear in CCL's complaint data as FFA complaints, but which are truly complaints filed against CFHs. As noted, the percent of complaints against FFAs is tiny compared to that against CFHs: 2.24% against FFAs, 97.76% against CFH.

We allocated 2.24% of projected visit volume for complaints and all supplemental visits to FFAs, and the remaining 97.76% of visits to CFHs, based on the data presented in Appendix Table 2.20, next page.

Appendix Table 2.20: Number and Percent of Complaints Filed Against Foster Family Agencies versus Certified Family Homes (Data Source: CCL)

FY 2012/13	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
N FFA complaints	3	2	4	2	3	5	6	7	4	2	4	5	47
N CFH complaints	201	181	143	230	179	144	152	193	185	192	214	192	2,206
Percent FFA	1.5%	1.1%	2.7%	0.9%	1.7%	3.4%	3.8%	3.5%	2.1%	1.0%	1.8%	2.5%	2.09%
FY 2013/14	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
N FFA complaints	6	4	4	10	2	3	2	3	5	7	8	3	57
N CFH complaints	212	210	190	224	173	163	189	200	178	251	206	181	2,377
Percent FFA	2.8%	1.9%	2.1%	4.3%	1.1%	1.8%	1.1%	1.5%	2.7%	2.7%	3.7%	1.6%	2.34%
FY 14/15	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
N FFA complaints	4	3	11	2	2	5	3	1	12	3	7	2	55
N CFH complaints	222	190	231	203	142	185	214	199	234	219	199	242	2,480
Percent FFA	1.8%	1.6%	4.6%	1.0%	1.4%	2.6%	1.4%	0.5%	4.9%	1.4%	3.4%	0.8%	2.17%
Three year average													2.24%

(Data source: CCL)

Projecting supplemental visits

The following table shows how many supplemental visit types LPAs are projected to perform in each facility type, using a three year average.

Appendix Table 2.21: Three-Year Calendar Average Workload Volume Supplemental Visits, Facility Level (Data source: CCL: 2013, 2014, and 2015)

	AA	FFA	SFH	FFH	GH+	ARF	RCFE+	SRF	ADP	RCFCI/SHN	FDC	CC+
Licensed facilities	119	420	160	3,048	1,149	5,050	7,497	102	964	53	31,837	14,697
Case management visits	9	757	33	196	729	2,165	5,137	61	401	25	4,084	5,451
Plan of corrections visits	0	29	4	55	91	438	714	2	24	2	1,287	695
Collateral visits	2	1,672	21	132	790	273	385	5	263	1	933	468
Attempted	3	905	60	219	264	815	240	1	19	12	3,928	479
Joint	6	451	27	86	481	647	1,408	8	46	92	2,027	1,863

(Data source: CCL)

Appendix Chapter Three: DAL Data: Field and Case Work

Section A: Time per separate activity tasks

Appendix Table 3.1: Activity and Component Tasks: Average Hours per Task and Activity, by Facility Type (CRES)

Activity	Task	AA	FFA	CFH	SFH	FFH	GH+	Average
Applications	<u>Pre-licensing visit</u>	1.17	1.42	n/a	1.5	1.7	1.45	1.45
	Pre-visit prep	0.7	0.25		0.88	0.69	0.83	0.67
	Post-visit ppwk	0.6	0.6		0.25	0.57	1	0.60
	Related desk work	1.3	4.14		2.15	0.65	2.4	2.13
	Visit travel time	1.41	1.41		1.41	1.41	1.41	1.41
	Total hours per visit	5.18	7.82		6.19	5.02	7.09	6.26
	<u>Post licensing visit</u>	1.52	1.52	n/a	2	1.46	3.05	1.91
	Pre-visit prep	0.7	0.25		0.88	0.69	0.83	0.67
	Post-visit ppwk	0.6	0.6		0.25	0.57	1	0.60
	Related desk work	1.3	4.14		2.15	0.65	2.4	2.13
	Visit travel time	1.41	1.41		1.41	1.41	1.41	1.41
	Total hours per visit	5.53	7.92		6.69	4.78	8.69	6.72
Inspections	Task	AA	FFA	CFH	SFH*	FFH*	GH+	Average
	<u>Comprehensive visit</u>	3.52	2.88	n/a	1.5	1	2.35	2.25
	Pre-visit prep	0.25	0.66		0.42	0.51	0.84	0.54
	Post-visit ppwk	0.67	0.44		0.5	0.5	0.47	0.52
	Related desk work	0.54	0.73		0.54	0.25	0.43	0.50
	Visit travel time	1.41	1.41		1.41	1.41	1.41	1.41
	Total hours per visit	6.39	6.12		4.37	3.67	5.5	5.21
Complaints	Task	AA	FFA	CFH	SFH	FFH	GH+	Average
	<u>Initial investigation visit</u>	1.5	1.53	1.3	1.63	1.42	1.39	1.46
	Pre-visit prep	0.25	0.81	0.82	0.92	0.81	0.75	0.73
	Post-visit ppwk	1.44	1.39	1.71	2.13	1.31	1.43	1.57
	Related desk work	1.25	1.85	1.71	1.71	1.49	1.73	1.62
	Visit travel time	1.41	1.41	1.41	1.41	1.41	1.41	1.41
	Total hours per visit	5.85	6.99	6.95	7.8	6.44	6.71	6.79
	<u>Subsequent visit</u>	1.5	0.91	1.01	1.25	1.06	0.98	1.12
	Pre-visit prep	0.25	0.81	0.82	0.92	0.81	0.75	0.73
	Post-visit ppwk	1.44	1.39	1.71	2.13	1.31	1.43	1.57
	Related desk work	1.25	1.85	1.71	1.71	1.49	1.73	1.62
	Visit travel time	1.41	1.41	1.41	1.41	1.41	1.41	1.41
	Total hours per visit	5.85	6.37	6.66	7.42	6.08	6.3	6.45

We imputed data for italicized cells, see Appendix Table 2.1 for a description of actions taken for missing or inadequate data.

We accounted for site visit and travel time for related supplemental visits in the supplemental visit formula, please see tables beginning page 35.

*SFH and FFH inspection times are KIT inspection data, not comprehensive inspection data; neither facility type had enough comprehensive inspection data points.

Appendix Table 3.2: Activity and Component Tasks: Average Hours per Task, and Total Time per Activity, by Facility Type (ASC)

Activity	Task	ARF	RCFE+	SRF	ADP	RCFCI/SHN	Average
Applications	<u>Pre-licensing visit</u>	2.45	2.36	2.75	1.75	6.56	3.17
	Pre-visit prep	1.28	0.88	0.95	0.33	0.98	0.88
	Post-visit ppwk	0.55	0.84	1	0.88	0.79	0.81
	Related desk work	1.67	2.17	2.54	2.44	2.04	2.17
	Visit travel time	1.02	1.02	1.02	1.02	1.02	1.02
	Total hours per visit	6.97	7.27	8.26	6.42	11.39	8.06
	<u>Post licensing visit</u>	1.13	3	1.77	2.18	2.64	2.14
	Pre-visit prep	1.28	0.88	0.95	0.33	0.98	0.88
	Post-visit ppwk	0.55	0.84	1	0.88	0.79	0.81
	Related desk work	1.67	2.17	2.54	2.44	2.04	2.17
	Visit travel time	1.02	1.02	1.02	1.02	1.02	1.02
	Total hours per visit	5.65	7.91	7.28	6.85	7.47	7.03
Inspections	Task	ARF	RCFE+	SRF	ADP	RCFCI/SHN	Average
	<u>Comprehensive visit</u>	3.73	3.91	3.5	4.4	6.11	4.33
	Pre-visit prep	0.6	0.66	0.44	0.69	0.5	0.63
	Post-visit ppwk	0.66	0.63	0.88	0.67	0.82	0.65
	Related desk work	0.79	0.8	0.79	0.5	0.75	0.73
	Visit travel time	1.02	1.02	1.02	1.02	1.02	1.02
	Total hours per visit	6.8	7.02	6.63	7.28	9.2	7.36
Complaints	Task	ARF	RCFE+	SRF	ADP	RCFCI/SHN	Average
	<u>Initial investigation visit</u>	2.2	2.34	2.38	2.33	1.45	2.29
	Pre-visit prep	0.74	0.5	0.38	0.88	0.65	0.76
	Post-visit ppwk	1.39	1.1	0.25	1.41	1.2	1.38
	Related desk work	1.49	1.14	3.75	1.64	1.31	1.56
	Visit travel time	1.02	1.02	1.02	1.02	1.02	1.02
	Total hours per visit	6.84	6.1	7.78	7.28	5.63	7.01
	<u>Subsequent visit</u>	1.5	1.81	2.38	1.11	1.42	1.64
	Pre-visit prep	0.74	0.5	0.38	0.88	0.65	0.76
	Post-visit ppwk	1.39	1.1	0.25	1.41	1.2	1.38
	Related desk work	1.49	1.14	3.75	1.64	1.31	1.56
	Visit travel time	1.02	1.02	1.02	1.02	1.02	1.02
	Total hours per visit	6.14	5.57	7.78	6.06	5.6	6.36

We imputed data for italicized cells, see Appendix Table 2.1 for a description of actions taken for missing or inadequate data.

We accounted for site visit and travel time for related supplemental visits in the supplemental visit formula, please see tables beginning page 35.

Appendix Table 3.3: Activity and Component Tasks: Average Hours per Task, and Total Time per Activity, by Facility Type (CC)

Activity	Task	FCCH	CC+	Average
Applications	<u>Pre-licensing visit</u>	1.75	1.93	1.78
	Pre-visit prep	0.57	0.6	0.58
	Post-visit ppwk	0.46	0.41	0.43
	Related desk work	0.6	0.67	0.62
	Visit travel time	0.73	0.73	0.73
	Total hours per visit	4.11	4.34	4.14
	<u>Post licensing visit</u>	n/a	n/a	n/a
	Pre-visit prep	n/a	n/a	n/a
	Post-visit ppwk	n/a	n/a	n/a
	Related desk work	n/a	n/a	n/a
	Visit travel time	n/a	n/a	n/a
	Total hours per visit	n/a	n/a	n/a
Inspections	Task	FCCH	CC+	Average
	<u>Comprehensive visit</u>	1.7	1.8	1.75
	Pre-visit prep	0.37	0.38	0.38
	Post-visit ppwk	0.38	0.39	0.39
	Related desk work	0.36	0.41	0.38
	Visit travel time	0.73	0.73	0.73
	Total hours per visit	3.54	3.71	3.63
Complaints	Task	FCCH	CCC+	Average
	<u>Initial investigation visit</u>	1.55	1.96	1.77
	Pre-visit prep	0.9	0.89	0.89
	Post-visit ppwk	1.76	1.97	1.87
	Related desk work	1.82	1.79	1.8
	Visit travel time	0.73	0.73	0.73
	Total hours per visit	6.76	7.34	7.06
	<u>Subsequent visit</u>	1.44	1.61	1.53
	Pre-visit prep	0.9	0.89	0.89
	Post-visit ppwk	1.76	1.97	1.87
	Related desk work	1.82	1.79	1.8
	Visit travel time	0.73	0.73	0.73
	Total hours per visit	6.65	6.99	6.82

We accounted for site visit and travel time for related supplemental visits in the supplemental visit formula, please see tables beginning page 35.

Section B: Projected inspection hours

The following tables provide hours per inspection per facility type, using the several inspection frequency scenarios described in Appendix Chapter Two.

Appendix Table 3.4: Annual Inspection Hours by Inspection Frequency and Facility Type (CRES)

Inspection frequency		AA	FFA	SFH*	FFH*	GH+
5 year/20% inspections	Average N facilities	119	420	160	3,048	1,152
	N 5 year visits	23.8	84.0	32.0	609.6	230.4
	N 20% random visits	19.0	67.2	25.6	487.7	184.3
	Total N visits per year	42.8	151.2	57.6	1,097.3	414.7
	Hours per comp inspection	6.39	6.12	4.84	4.5	5.56
	Total inspection hours	273.75	925.34	278.78	4,937.76	2305.84
Triennial/30% inspections	Average N facilities	119	420	160	3,048	1,152
	N triennial visits	39.7	140.0	53.3	1,016.0	384.0
	N 30% random visits	23.8	84.0	32.0	609.6	230.4
	Total N visits per year	63.5	224.0	85.3	1,625.6	614.4
	Hours per comp inspection	6.39	6.12	4.84	4.5	5.56
	Total inspection hours	405.55	1,370.88	413.01	7,315.2	3,416.06
Biennial/20% inspections	Average N facilities	119	420	160	3,048	1,152
	N biennial visits	59.5	210.0	80.0	1,524.0	576.0
	N 20% random visits	11.9	42.0	16.0	304.8	115.2
	Total N visits per year	71.4	252.0	96.0	1,828.8	691.2
	Hours per comp inspection	6.39	6.12	4.84	4.5	5.56
	Total inspection hours	456.25	1,542.24	464.64	8,229.6	3843.07
Annual inspections	Average N facilities	119	420	160	3,048	1,152
	N annual visits	119	420	160	3,048	1,152
	Hours per comp inspection	6.39	6.12	4.84	4.5	5.56
	Total inspection hours	760.41	2,570.4	774.4	13,716	6,405.12

*During the data collection period, LPAs only performed two comprehensive inspections in SFH and FFH. We used the average time per KIT inspection for these two facility types rather than the comprehensive time.

Appendix Table 3.5: Annual Inspection Hours by Inspection Frequency and Facility Type (ASC)

Inspection frequency		ARF 1 to 6*	ARF 7 plus*	RCFE+	SRF	ADP	RCFCI/ SHN
5 year/20% random	Average N facilities	4,537	513	7,497	102	964	53
	N 5 year visits	907.40	102.60	1,499.38	20.36	192.87	10.62
	N 20% random visits	725.92	82.08	1,199.50	16.29	154.30	8.49
	Total N visits per year	1,633.32	184.68	2,698.88	36.65	347.17	19.11
	Hours per comp inspection	7.37	6.77	7.3	6.63	7.28	9.2
	Total inspection hours	12,037.57	1,250.28	19,701.82	242.99	2,527.40	175.81
Triennial/ 30% random		ARF 1 to 6*	ARF 7 plus*	RCFE+	SRF	ADP	RCFCI/ SHN
	Average N facilities	4,537	513	7,497	102	964	53
	N triennial visits	1,512.33	171	2,498.96	33.94	321.45	17.69
	N 30% random visits	907.4	102.6	1,499.38	20.36	192.87	10.62
	Total N visits per year	2,419.73	273.6	3,998.34	54.3	514.33	28.31
	Hours per comp inspection	7.37	6.77	7.3	6.63	7.28	9.2
Biennial/20% random		ARF 1 to 6*	ARF 7 plus*	RCFE+	SRF	ADP	RCFCI/ SHN
	Average N facilities	4,537	513	7,497	102	964	53
	N biennial visits	2,268.50	256.5	3,748.44	50.9	482.18	26.54
	N 20% random visits	453.7	51.3	749.69	10.18	96.44	5.31
	Total N visits per year	2,722.20	307.8	4,498.13	61.08	578.62	31.85
	Hours per comp inspection	7.37	6.77	7.3	6.63	7.28	9.2
Annual	Total inspection hours	20,062.61	2,083.81	32,836.37	404.98	4,212.33	293.02
		ARF 1 to 6*	ARF 7 plus*	RCFE+	SRF	ADP	RCFCI/ SHN
	Average N facilities	4,537	513	7,497	102	964	53
	N annual visits	4,537	513	7,497	102	964	53
	Hours per comp inspection	7.37	6.77	7.3	6.63	7.28	9.2
	Total inspection hours	33,437.69	3473.01	54727.29	674.97	7020.55	488.37

*We calculated ARES data by facility bed capacity. Facilities with 1 to 6 beds were calculated separately from facilities with 7 or more beds. We determined proportions by number of facilities per bed capacity.

Appendix Table 3.6: Annual Inspection Hours by Inspection Frequency and Facility Type (CC)

Inspection frequency		FCCH	CC+
5 year/20% inspections	Average N facilities	31,837	14,697
	N 5 year visits	6,367.40	2,939.40
	N 20% random visits	5,093.92	2,351.52
	Total N visits per year	11,461.32	5,290.92
	Hours per comp inspection	3.54	3.71
	Total inspection hours	40,573.07	19,629.31
Triennial/ 30% inspections		FCCH	CC+
	Average N facilities	31,837	14,697
	N triennial visits	10,612.33	4,899
	N 30% random visits	6,367.4	2,939.4
	Total N visits per year	16,979.73	7,838.4
	Hours per comp inspection	3.54	3.71
	Total inspection hours	60,108.26	29,080.46

Section C: Projected licensing applications, complaints, and supplemental visits

Applications

Total annual application hours were developed using the assumption that all pre-licensing visits will be followed by a post licensing visit (except in child care, which does not perform post licensing visits).

Appendix Table 3.7: Annual Licensing Application Hours by Facility Type (CRES)

Activity		AA	FFA	SFH	FFH	GH+
Pre-licensing	Projected N applications	7.5	22	6	413	52.5
	N pre-licensing visits	7.5	22	6	413	52.5
	Hours per pre-licensing visit	5.18	7.82	6.19	5.02	7.09
	Total hours pre-licensing visit	38.85	172.04	37.14	2,073.26	372.23
Post-licensing	Projected N post licensing visits	7.5	22	6	413	52.5
	Hours per post licensing visit	5.53	7.92	6.69	4.78	8.69
	Total hours post licensing visit	41.48	174.24	40.14	1,974.14	456.23
	Total hours per year	80.33	346.28	77.28	4,047.4	828.45

Appendix Table 3.8: Annual Licensing Application Hours by Facility Type (ASC)

Activity		ARF 1 to 6*	ARF 7 plus*	RCFE 1 to 6**	RCFE 7 plus**	SRF	ADP	RCFCI/ SHN***
Pre-licensing	Projected N applications	159	18	271	69	6	40	2
	N pre-licensing visits	159	18	271	69	6	40	2
	Hours per pre-licensing visit	6.96	7.52	7.21	7.51	8.26	6.42	11.39
	Total hours pre-licensing visit	1,106.64	135.36	1,953.91	518.19	49.56	256.8	22.78
Post-licensing	Projected N post licensing visits	159	18	271	69	9	26	2
	Hours per post licensing visit	5.65	5.65	7.71	8.51	7.28	6.85	7.47
	Total hours post licensing visit	898.35	101.7	2,089.41	587.19	65.52	178.1	14.94
	Total hours per year	2,004.99	237.06	4,043.32	1,105.38	115.08	434.9	37.72

*We calculated ARES data by facility bed capacity. Facilities with 1 to 6 beds were calculated separately from facilities with 7 or more beds. We determined proportions by number of facilities per bed capacity.

**We also calculated RCFE data by facility bed capacity. Facilities with 1 to 6 beds were calculated separately from facilities with 7 or more beds. We determined proportions by number of facilities per bed capacity.

***No applications for ARFSHN or RCFCI were recorded in CCL data. One application per facility type was estimated.

Appendix Table 3.9: Annual Licensing Application Hours by Facility Type (CC)

Activity	Visit	FCCH	CC+
Pre-licensing	Projected N applications	2,751	661
	N pre-licensing visits	2,751	661
	Hours per pre-licensing visit	4.11	4.34
	Total hours pre-licensing visit	11,306.61	2,868.74
Post-licensing	Projected N post licensing visits	0	0
	Hours per post licensing visit		
	Total hours post licensing visit	0	0
	Total hours per year	11,306.61	2,868.74

All visits include pre-visit prep, post visit ppwk, related desk work, travel time, site visit time, AND ppwk/desk time for supplemental visits connected to the application.

Computing complaint hours

First, we multiply the forecast numbers of complaints by the hours it takes to do one initial investigation visit. Note that we calculated hours per initial visit independent of hours per subsequent visit. We then incorporate the ratio of visits per completed complaint by subtracting 1 from the ratio, because we assume there is one initial investigation visit for every (forecast) complaint, and because the ratio of visits per complaint is higher than one, the remaining part of the ratio tells us how much subsequent investigation visit time we need to add. Again, using FFH, the forecast number of 379 complaints (rounded here to 380); we first multiplied 379 by 6.44 hours per initial visit (2,444.94 total hours), then 1 is subtracted from the 1.91 visits per complaint ratio, leaving .91 to multiply by the 6.08 hours per subsequent visit (2,100.52 total hours). Adding the two totals together shows that 4,545.46 hours are projected for complaint work in FFHs in one year. That final figure will appear in the various LPA Staffing Needs tables beginning with Appendix Table 5.1 on page 39.

Appendix Table 3.10: Annual Complaint Investigation Hours by Facility Type (CRES)

		AA	FFA*	CFH	SFH	FFH	GH 1 to 49**	GH 50**
Initial investigation visit	Forecast N complaints	1.58	60	2,564	66	380	1,359	278
	Forecast initial investigation visits	1.58	60	2,564	66	380	1,359	278
	Hours per initial visit	5.85	6.99	6.95	7.8	6.44	6.68	6.83
	Total hours of initial invest visits	9.27	420.95	17,819.80	512.57	2,444.94	9,076.18	1,900.72
Subsequent investigation visit	Ratio of visits to completed complaints	1.5	2.99	2.99	2.18	1.91	2.16	2.16
	Factor for N subsequent visits	0.5	1.99	1.99	1.18	0.91	1.16	1.16
	Hours per subsequent visit	5.85	6.37	6.66	7.42	6.08	6.26	6.49
	Factored N subsequent visits	0.79	119.84	5,102.36	77.54	345.48	1,576.10	322.82
	Total hours subsequent visits	4.63	763.39	33,981.72	575.36	2,100.52	9,866.41	2,095.08
	Hours per each complaint	8.78	19.67	20.2	16.56	11.97	13.97	14.36
	Projected annual hours	13.9	1,184.35	51,801.52	1,087.93	4,545.46	18,942.59	3,995.80

*We derived FFA and CFH data using the 2.24% to 97.76% percent calculations presented in Appendix Table 2.17.

**We calculated GH data by facility bed capacity. Facilities with fewer than 50 beds were calculated separately from facilities with 50 or more beds. We accounted for site visit and travel time for any application-related supplemental visits in the supplemental visit formula. We determined proportions by number of facilities per bed capacity.

Appendix Table 3.11: Annual Complaint Investigation Hours by Facility Type (ASC)

		ARF 1 to 6*	ARF 7 plus*	RCFE 1 to 6**	RCFE 7 plus**	SRF	ADP	RCFCI/ SHN
Initial investigation visit	Forecast N complaints	1,320	440	1,805	2,493	40	220	50
	Forecast initial investigation visits	1,320	440	1,805	2,493	40	220	50
	Hours per initial visit	6.93	6.73	5.95	6.21	7.78	7.28	5.63
	Total hours of initial invest visits	9,146.63	2,960.89	10,742.11	15,482.56	309.72	1,604.46	280.67
Subsequent investigation visit	Ratio of visits to completed complaints	1.76	1.76	1.7	1.7	1.32	1.61	1.85
	Factor for N subsequent visits	0.76	0.76	0.70	0.70	0.32	0.61	0.85
	Hours per subsequent visit	6.33	6.07	5.41	5.7	7.78	6.06	5.6
	Factored N subsequent visits	1,003.09	334.36	1,263.78	1,745.22	52.55	354.83	92.23
	Total hours subsequent visits	6,349.58	2,029.59	6,837.04	9,947.73	408.83	2,150.28	516.48
	Hours per each complaint	11.74	11.34	9.74	10.20	10.27	10.98	10.39
	Projected annual hours	15,496.21	4,990.48	17,579.14	25,430.30	718.55	3,754.74	797.15

*We calculated ARES data by facility bed capacity. Facilities with 1 to 6 beds were calculated separately from facilities with 7 or more beds. We determined proportions by number of facilities per bed capacity.

**We also calculated RCFE data by facility bed capacity. Facilities with 1 to 6 beds were calculated separately from facilities with 7 or more beds. We determined proportions by number of facilities per bed capacity.

Appendix Table 3.12: Annual Complaint Investigation by Facility Type (CC)

		FCCH	CCC+
Initial investigation visit	Forecast N complaints	2,521	2,779.45
	Forecast initial investigation visits	2,521	2779
	Hours per initial visit	6.76	7.34
	Total hours of initial invest visits	17,041.96	20,401.17
Subsequent investigation visit	Ratio of visits to completed complaints	1.77	2.33
	Factor for N subsequent visits	0.77	1.33
	Hours per subsequent visit	6.65	6.99
	Factored N subsequent visits	1,941.17	3,696.67
	Total hours subsequent visits	12,908.78	25,839.72
	Hours per each complaint	11.88	16.64
	Projected annual hours	29,950.74	46,240.89

Hours per supplemental visit

In the final section of the report Chapter Two, we describe supplemental visits and why we treated them differently from the primary visit types in terms of how we incorporated hours and projected annual workload volume. Please return to that section for more explanation if necessary. These Appendix Tables provide the hours per visit (Appendix Table 3.13), the average number of visits projected annually (Appendix Table 2.21 as well as the top half of Appendix Tables 3.13 through 3.15), and the calculated total number of hours needed (hours per visit times projected annual number, bottom half of Appendix Tables 3.13 through 3.15)

Appendix Table 3.13: Annual Hours per Supplemental Visit Type, by Visit Type and Program Area

Program area		Case management	Collateral	Plan of correction	Attempted	Joint
CRES	Average hours per visit	1.00	0.82	0.74	0.50	1.60
	Travel time per visit	1.41	1.41	1.41	1.41	1.41
	Total hours per each visit	2.41	2.23	2.15	1.91	3.01
ASC	Average hours per visit	1.32	1.18	0.77	0.34	2.63
	Travel time per visit	1.02	1.02	1.02	1.02	1.02
	Total hours per each visit	2.34	2.20	1.79	1.36	3.65
CC	Average hours per visit	1.25	0.84	0.82	0.31	1.48
	Travel time per visit	0.73	0.73	0.73	0.73	0.73
	Total hours per each visit	1.98	1.57	1.55	1.04	2.21

Appendix Table 3.14: Annual Number of Visits and Total Annual Hours per Supplemental Visit Type, by Visit Type and Facility Type (CRES)

		AA	FFA	CFH	SFH	FFH	GH+	Program area
Three year average number of visits (Source: CCL data)	Case management visits	9	757		33	196	729	1,723
	Plan of corrections visits	1*	29		4	55	91	179
	Collateral visits	2	1,672		21	132	790	2,617
	Attempted	3	905		60	219	264	1,451
	Joint	6	451		27	86	481	1,050
	Total number of supplemental visits	20	3,813		145	689	2,354	7,021
Hours needed (N visits times hours per visit from Appendix Table 3.13)	Case management	20.89	1,823.57		80.33	471.56	1,756.09	4,152
	Plan of corrections	2.15	61.63		7.88	118.97	194.93	386
	Collateral	3.72	3,727.82		47.57	295.10	1,762.44	5,837
	Attempted	5.09	1,728.55		114.60	418.93	503.60	2,771
	Joint	17.06	1,357.51		80.27	258.86	1,447.81	3,162
	Total hours for supplemental visits	48.90	194.86	8,504.22**	330.66	1,563.41	5,664.88	16,307

*no POC visits for AA listed in three years, put one here because one might occur

**97.76% of supplemental visit hours assigned to CFH

Appendix Table 3.15: Annual Number of Visits and Total Annual Hours per Supplemental Visit Type, by Visit Type and Facility Type (ASC)

	Visit type	ARF	RCFE+	SRF	ADP	RCFCI/SHN	Program area
Three year average number of visits (Source: CCL data)	Case management visits	2,165	5,137	61	401	25	7,789
	Plan of corrections visits	438	714	2	24	2	1,178
	Collateral visits	273	385	5	263	1	928
	Attempted	815	240	1	19	12	1,086
	Joint	647	1,408	8	46	92	2,201
	Total number of supplemental visits	4,338	7,884	77	753	132	13,183
Hours needed (N visits times hours per visit from Appendix Table 3.13)	Case management	5,066.10	12,020.58	143.52	938.34	58.50	18,227
	Plan of corrections	783.42	1,277.46	2.98	42.36	2.98	2,109
	Collateral	601.33	847.73	11.73	579.33	1.47	2,042
	Attempted	1,107.95	325.95	0.91	25.39	16.32	1,477
	Joint	2,362.77	5,139.20	27.98	167.90	337.02	8,035
	Total hours for supplemental visits	9,921.57	19,610.92	187.13	1,753.32	416.29	31,889

Appendix Table 3.16: Annual Number of Visits and Total Annual Hours per Supplemental Visit Type, by Visit Type and Facility Type (CC)

		FDC	CCC	Program area
Three year average number of visits (Source: CCL data)	Case management visits	4,084	5,451	9,535
	Plan of corrections visits	1,287	695	1,982
	Collateral visits	933	468	1,400
	Attempted	3,928	479	4,407
	Joint	2,027	1,863	3,890
	Total number of supplemental visits	12,259	8,955	21,214
Hours needed (N visits times hours per visit from Appendix Table 3.13)	Case management	8,086.98	10,792.32	18,879.30
	Plan of corrections	1,994.33	1,077.25	3,071.58
	Collateral	1,464.29	734.24	2,198.52
	Attempted	4,085.12	498.51	4,583.63
	Joint	4,480.41	4,116.49	8,596.90
	Total hours for supplemental visits	20,111.13	17,218.81	37,329.93

Appendix Chapter Four: DAL Data: General Supportive Non-field Work Duties

For informational purposes and as reported on DALs, the following table provides the number of hours performing various general supportive (non-field work) duties, at greater detail than in the report.

Appendix Table 4.1 All General Supportive LPA Duties: Hours Reported on DALs

Activity	CRES		ASC		CC		Division	
	N hours	Percent	N hours	Percent	N hours	Percent	Total hours	Percent
Routine desk work	5,320.25	38.01%	10,489.5	41.67%	15,503.5	46.18%	31,313.3	43.05%
Administrative paperwork	1,583.75	11.32%	4,233.75	16.82%	4,489.25	13.37%	10,306.8	14.17%
Phone calls	1,613.75	11.53%	2,427.75	9.64%	5,877.5	17.51%	9919	13.64%
Internal	445.75	3.18%	748	2.97%	1,094.5	3.26%	2,288.25	3.15%
With management	541	3.87%	748	2.97%	1,012.75	3.02%	2,301.75	3.16%
Group orientations	119.75	0.86%	20.25	0.08%	327.25	0.97%	467.25	0.64%
Off site	261.75	1.87%	380.25	1.51%	217.5	0.65%	859.5	1.18%
Meeting prep	98.75	0.71%	185	0.73%	170.25	0.51%	454	0.62%
Travel for meeting	259.5	1.85%	157.25	0.62%	113	0.34%	529.75	0.73%
Provider/stakeholder	140.25	1.00%	42.25	0.17%	58.25	0.17%	240.75	0.33%
Review incident reports	1,761.25	12.58%	2,863.25	11.37%	428	1.27%	5052.5	6.95%
Travel*	454.75	3.25%	300.25	1.19%	322.75	0.96%	1,077.75	1.48%
PRA's	106.75	0.76%	137.25	0.55%	20.25	0.06%	264.25	0.36%
Receive complaint/death report	227	1.62%	236.5	0.94%	163	0.49%	626.5	0.86%
Process civil penalty	18.25	0.13%	72.25	0.29%	96.25	0.29%	186.75	0.26%
File review/FAS-LIS lookup	702.75	5.02%	1,287.5	5.11%	3,085.5	9.19%	5,075.75	6.98%
Special project	337.75	2.41%	853.5	3.39%	584.75	1.74%	1776	2.44%
Emergency fire drill	1	0.01%	6.5	0.03%	8	0.02%	15.5	0.02%
Total	13,996.5	100%	25,171.5	100%	33,572.3	100%	72,740.3	100.00%

* Travel related to car maintenance, not site visits

Appendix Chapter Five: 2015 LPA Staffing Needs and Budget Standards

This chapter shows how the various facts and figures presented in the previous chapters come together. It shows how many LPAs are needed to fully staff the division based on the differing inspection scenarios, those numbers separated by inspection and non-inspection work, the hours per facility, and finally the Budget Standards.

As a reminder, the LPA Staffing Needs tables combine the projected hours of direct case work needed, convert that case work amount into total hours needed (using each program area's proportion of case work presented in Appendix Chapter Two Section B), divide the total needed hours by LPA available hours, arriving at the number of LPAs needed.

Section A: LPA Staffing Needs using the current inspection frequency mandate

Appendix Table 5.1: Current Annual LPA Staffing Needs: Calculating Needed Number of LPAs by Facility Type (Case-carrying LPAs, CRES)

		AA	FFA	CFH	SFH	FFH	GH+	Total	Extra LPAs*	Program area
Five year/20% random inspections scenario	Application hours	80	346	-	77	4,047	828	5,380		
	Inspection hours	274	925	-	279	4,938	2,306	8,721		
	Complaint hours	14	1,184	51,802	1,088	4,545	20,670	79,303		
	Supplemental visit hours	49	195	8,504	331	1,563	5,665	16,307		
	Total hours direct case work	417	2,651	60,306	1,775	15,094	31,738	111,980		
	Proportion of all needed hours	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%		
	Total needed hours	866	5,504	125,220	3,685	31,341	65,900	232,516		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	0.51	3.26	74.14	2.18	18.56	39.02	137.66	5.75	143.41

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.2: Current Annual LPA Staffing Needs: Calculating Needed Number of LPAs by Facility Type (Case-carrying LPAs, ASC)

		ARF	RCFE+	SRF	ADP	RCFCI/ SHN	Total	Extra LPAs*	Program area
Five year/20% random inspections scenario	Application hours	2,242	2,677	115	435	38	5,506		
	Inspection hours	13,288	19,702	243	2,527	176	35,936		
	Complaint hours	20,487	43,009	719	3,755	797	68,767		
	Supplemental visit hours	9,922	19,611	187	1,753	416	31,889		
	Total hours direct case work	45,938	84,999	1,264	8,470	1,427	142,098		
	Proportion of all needed hours	49.52%	49.52%	49.52%	49.52%	49.52%	49.52%		
	Total needed hours	92,767	171,645	2,552	17,105	2,882	286,951		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	54.92	101.63	1.51	10.13	1.71	169.89	11.46	181.35

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.3: Current Annual LPA Staffing Needs: Calculating Needed Number of LPAs by Facility Type (Case-carrying LPAs, CC)

		FCCH	CC+	Total	Extra LPAs*	Program area
Five year/20% random inspections scenario	Application hours	11,307	2,869	14,175		
	Inspection hours	40,573	19,629	60,202		
	Complaint hours	29,951	46,241	76,192		
	Supplemental visit hours	20,111	17,219	37,330		
	Total hours direct case work	101,942	85,958	187,899		
	Proportion of all needed hours	48.86%	48.86%	48.86%		
	Total needed hours	208,640	175,927	384,567		
	LPA annual available hours	1,689	1,689	1,689		
	N LPAs needed	123.53	104.16	227.69	6.24	233.93

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Section B: LPA Staffing Needs using the upcoming differing stages of inspection frequency

Appendix Table 5.4: Annual LPA Staffing Needs by Facility Type and Differing Inspection Frequencies (Case-carrying LPAs, CRES)

		AA	FFA	CFH	SFH	FFH	GH+	Total	Extra LPAs*	Program area
Triennial inspection scenario	Application hours	80	346	-	77	4,047	828	5,380		
	Triennial inspection hours	406	1,371	-	413	7,315	3,416	12,921		
	Complaint hours	14	1,184	51,802	1,088	4,545	22,938	81,572		
	Supplemental visit hours	49	195	8,504	331	1,563	5,665	16,307		
	Total hours direct case work	549	3,096	60,306	1,909	17,471	32,848	116,179		
	Proportion of all needed hours	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%		
	Total needed hours	1,139	6,429	125,220	3,964	36,278	68,206	241,235		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	1	4	74	2	21	40	143	6	149
Biennial inspection scenario		AA	FFA	CFH	SFH	FFH	GH+	Total		
	Application hours	80	346	-	77	4,047	828	5,380		
	Biennial inspection hours	456	1,542	-	465	8,230	3,843	14,536		
	Complaint hours	14	1,184	51,802	1,088	4,545	22,938	81,572		
	Supplemental visit hours	49	195	8,504	331	1,563	5,665	16,307		
	Total hours direct case work	599	3,268	60,306	1,961	18,386	33,275	117,794		
	Proportion of all needed hours	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%		
	Total needed hours	1,245	6,785	125,220	4,071	38,177	69,092	244,589		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	1	4	74	2	23	41	145	6	151
Annual inspection scenario		AA	FFA	CFH	SFH	FFH	GH+	Total		
	Application hours	80	346	-	77	4,047	828	5,380		
	Annual inspection hours	760	2,570	-	774	13,716	6,405	24,226		
	Complaint hours	14	1,184	51,802	1,088	4,545	22,938	81,572		
	Supplemental visit hours	49	195	8,504	331	1,563	5,665	16,307		
	Total hours direct case work	904	4,296	60,306	2,270	23,872	35,837	127,485		
	Proportion of all needed hours	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%	48.16%		
	Total needed hours	1,876	8,920	125,220	4,714	49,569	74,412	264,710		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	1	5	74	3	29	44	157	6	162

All "N LPAs needed" values are rounded here, and may not appear to sum to given totals.

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.5: Annual LPA Staffing Needs by Facility Type and Differing Inspection Frequencies (Case-carrying LPAs, ASC)

		ARF	RCFE+	SRF	ADP	RCFCI/SHN	Total	Extra LPAs*	Program area
Triennial inspection scenario	Application hours	2,242	2,677	115	435	38	5,506		
	Triennial inspection hours	19,686	29,188	360	3,744	260	53,238		
	Complaint hours	20,487	43,009	719	3,755	797	68,767		
	Supplemental visit hours	9,922	19,611	187	1,753	416	31,889		
	Total hours direct case work	52,336	94,485	1,381	9,687	1,512	159,400		
	Proportion of all needed hours	49.52%	49.52%	49.52%	49.52%	49.52%	49.52%		
	Total needed hours	105,687	190,801	2,788	19,562	3,053	321,891		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	63	113	2	12	2	191	11	202
Biennial inspection scenario		ARF	RCFE+	SRF	ADP	RCFCI/SHN	Total		
	Application hours	2,242	2,677	115	435	38	5,506		
	Biennial inspection hours	22,146	32,836	405	4,212	293	59,893		
	Complaint hours	20,487	43,009	719	3,755	797	68,767		
	Supplemental visit hours	9,922	19,611	187	1,753	416	31,889		
	Total hours direct case work	54,797	98,133	1,426	10,155	1,544	166,055		
	Proportion of all needed hours	49.52%	49.52%	49.52%	49.52%	49.52%	49.52%		
	Total needed hours	110,656	198,169	2,879	20,507	3,118	335,330		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	66	117	2	12	2	199	11	210
Annual inspection scenario		ARF	RCFE+	SRF	ADP	RCFCI/SHN	Total		
	Application hours	2,242	2,677	115	435	38	5,506		
	Annual inspection hours	36,911	54,727	675	7,021	488	99,822		
	Complaint hours	20,487	43,009	719	3,755	797	68,767		
	Supplemental visit hours	9,922	19,611	187	1,753	416	31,889		
	Total hours direct case work	69,561	120,024	1,696	12,964	1,740	205,984		
	Proportion of all needed hours	49.52%	49.52%	49.52%	49.52%	49.52%	49.52%		
	Total needed hours	140,471	242,375	3,424	26,178	3,513	415,961		
	LPA annual available hours	1,689	1,689	1,689	1,689	1,689	1,689		
	N LPAs needed	83	144	2	15	2	246	11	258

All "N LPAs needed" values are rounded here, and may not appear to sum to given totals.

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.6: Annual LPA Staffing Needs by Facility Type (Case-carrying LPAs, CC)

	Projectable activities	FCCH	CC+	Total	Extra LPAs*	Program area
Triennial inspection scenario	Application hours	11,307	2,869	14,175		
	Triennial inspection hours	60,108	29,080	89,189		
	Complaint hours	29,951	46,241	76,192		
	Supplemental visit hours	20,111	17,219	37,330		
	Total hours direct case work	121,477	95,409	216,886		
	Proportion of all needed hours	48.86%	48.86%	48.86%		
	Total needed hours	248,622	195,270	443,892		
	LPA annual available hours	1,689	1,689	1,689		
	N LPAs needed	147	116	263	6	269

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Section C: Baseline staffing needs

When there is a change in the inspection frequency mandate, there should be no change in the projected number of non-inspection visits—the foundation or baseline level of LPA need should remain stable. The following three tables show the baseline number of LPAs needed for non-inspection work separated from inspection work, and provide the number of LPAs needed for each increase in inspection frequency. These tables allow the reader to directly see the impact on the number of LPAs needed to do inspection work as the inspection frequency rises. As shown in Appendix Table 5.7, the baseline LPA need in CRES is 133 LPAs, and changing the inspection frequency from the current, 5 year/20% mandate (11 LPAs to perform all inspections) to an annual inspection mandate (30 LPAs needed for inspections) increases the LPA number to fully staff the program by 19 LPAs.

Appendix Table 5.7: Children’s Residential Program Annual Baseline LPA Staffing Needs: Number of LPAs by Inspection and Non-Inspection Duties, by Facility Type, Program Area, and Inspection Frequency Mandates (Case-carrying LPAs, CRES)

		AA	FFA	CFH*	SFH	FFH	GH+	Program area (includes extra LPAs**)
	Baseline LPA need	.18	2.12	74.14	1.84	12.49	36.18	132.69
Number of LPAs needed for inspection frequency	5 year/20% random	.33	1.14	n/a	.34	6.07	2.84	10.72
	Triennial/30% random	.50	1.69	n/a	.51	8.99	4.2	15.88
	Biennial/20% random	.56	1.9	n/a	.57	10.12	4.72	17.87
	Annual inspections	.93	3.16	n/a	.95	16.86	7.87	29.78

*Because CCL does not license CFHs, LPAs do not perform routine inspections in those facilities.

**Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.8: Adult and Senior Care Program Annual Baseline LPA Staffing Needs: Number of LPAs by Inspection and Non-Inspection Duties, by Facility Type, Program Area, and Inspection Frequency Mandates (Case-carrying LPAs, ASC)

		ARF	RCFE+	SRF	ADP	RCFCI/ SHN	Program area (includes extra LPAs*)
	Baseline LPA need	39.04	78.07	1.22	7.11	1.5	138.39
Number of LPAs needed for inspection frequency	5 year/20% random	15.88	23.56	.29	3.02	.21	42.96
	Triennial/30% random	23.54	34.90	.43	4.48	.31	63.65
	Biennial/20% random	26.48	39.26	.48	5.04	.35	71.61
	Annual inspections	44.13	65.43	.81	8.39	.58	119.35

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Appendix Table 5.9: Child Care Program Annual Baseline LPA Staffing Needs: Number of LPAs by Inspection and Non-Inspection Duties, by Facility Type, Program Area, and Inspection Frequency Mandates (Case-carrying LPAs, CC)

		FCCH	CC+	Program area (includes extra LPAs*)
	Baseline LPA need	74.36	80.37	160.98
Number of LPAs needed for inspection frequency	5 year/20% random	49.17	23.79	72.96
	Triennial/30% random	72.84	35.24	108.08

*Extra LPAs: the number of hours of undone work divided by 1,689 hours (annual LPA hours available for LPA work)

Section D: 2015 Budget Standards

The LPA Staffing Needs provides the total number of LPAs needed to perform all LPA duties. Budget Standards are specific to the number of hours per facility it takes to fully monitor a facility, and the number of case work hours an LPA has available. This is not the same number as the 1,689 personnel year hours that an LPA has to perform all work.³ This case work hours value is the proportion of 1,689 hours that LPAs spend on case work alone. As calculated with DAL data and described in this report at the beginning of Appendix Chapter Two: on average, the proportion of LPA time devoted to case work is just under 50% of 1,689 hours (Appendix Table 5.10):

Appendix Table 5.10: Annual LPA Hours for Case Work Only, by Program Area-Case-carrying LPAs

	CRES	ASC	CC
Personnel year hours	1,689	1,689	1,689
Percent case work	48.16%	49.52%	48.86%
Annual LPA hours for case work	813.4	836.4	825.2

The next set of tables show several pieces of information within each of the five inspection scenarios:

- The projected total number of direct case work hours (Appendix Tables 5.1 through 5.6)
- The number of facilities those projected case work hours are based on (Appendix Table 2.13)
- The calculated number of case work hours per facility (divide the total hours by the number of facilities)⁴
- The annual number of LPA case work only hours (Appendix Table 5.10)
- The Budget Standard, calculated by dividing the LPA case work hours by hours per facility

CCL staff familiar with the 2001 workload study will note the prior study calculated Budget Standards using a different methodology. That methodology, while appearing less complex than the one used in this study, yields the same Budget Standard figures, but minimizes the role that non-field work time has on available LPA work hours. The “Annual case work hours” figures in each Appendix Tables 5.11, 5.12, and 5.13 are the same as in the current methodology tables (both use the proportion of LPA time (the first key role of DAL data)), but there is no figure displaying the total number of hours needed for *all* LPA work. In other words, staff, legislators, and stakeholders have no “big picture” of all the hours needed for a fully staffed division.

Importantly, both methodologies have the same caveats: if CCL staff anticipate substantive changes to the number of licensed facilities or the proportion of LPA work hours available for case/field work, they will need to revise the underlying relevant projections to accurately project the correct number of case work hours.

³1,689 hours is one full-time employee’s annual work hours to perform LPA duties (2,050 personnel year hours, adjusted for holidays, vacation time, allowed sick leave, other leave to 1,778 (as per communication with CDSS Financial Management and Contracts Branch, July 2014) and minus training hours (89 hours: five percent of LPA responsibilities): <http://www.ccl.ca.gov/Res/pdf/LPA-ChildCare.pdf> and <http://www.ccl.ca.gov/Res/pdf/LPA-Residential.pdf>, accessed July 11, 2016)

⁴ The hours per facility value rises when more facilities are inspected; the reader must take note of the inspection frequency scenario presented in each table.

Appendix Table 5.11: Current Scenario: Annual Case Work Hours, Hours per Facility, and Budget Standards by Facility Type (Case-carrying LPAs, Program Level)

Current (5 year/20% inspection) Scenario		AA	FFA	CFH	SFH	FFH	GH+
	Annual case work hours	417	2,651	60,306	1,775	15,094	31,738
	N facilities	119	420	11,034	160	3,048	1,152
	N case work hours/facility	3.50	6.31	5.47	11.09	4.95	27.55
	Annual LPA hours for case work	813.4	813.4	813.4	813.4	813.4	813.4
	Budget Standard	232	129	149	73	164	30
		ARF	RCFE+	SRF	ADP	RCFCI/SHN	
	Annual case work hours	45,938	84,999	1,264	8,470	1,427	
	N facilities	5,050	7,497	102	964	53	
	N case work hours/facility	9.10	11.34	12.41	8.78	26.88	
	Annual LPA hours for case work	836.4	836.4	836.4	836.4	836.4	
	Budget Standard	92	74	67	95	31	
		FCCH	CC+				
	Annual case work hours	101,942	85,958				
	N facilities	31,837	14,697				
	N case work hours/facility	3.20	5.85				
	Annual LPA hours for case work	825.2	825.2				
	Budget Standard	258	141				

Appendix Table 5.12: Stage 1 Scenario: Annual Case Work Hours, Hours per Facility, and Budget Standards by Facility Type (Case-carrying LPAs, Program Level)

Stage 1 Scenario (begins Jan 1, 2017)		AA	FFA	CFH	SFH	FFH	GH+
	Annual case work hours	549	3,096	60,306	1,909	17,471	32,847
	N facilities	119	420	11,034	160	3,048	1,152
	N case work hours/facility	4.61	7.37	5.47	11.93	5.73	28.51
	Annual LPA hours for case work	813.4	813.4	813.4	813.4	813.4	813.4
	Budget Standard	176	110	149	68	142	29
		ARF	RCFE+	SRF	ADP	RCFCI/SHN	
	Annual case work hours	52,336	94,485	1,381	9,687	1,512	
	N facilities	5,050	7,497	102	964	53	
	N case work hours/facility	10.36	12.60	13.56	10.05	28.48	
	Annual LPA hours for case work	836.4	836.4	836.4	836.4	836.4	
	Budget Standard	81	66	62	83	29	
		FCCH	CC+				
	Annual case work hours	121,477	95,409				
	N facilities	31,837	14,697				
	N case work hours/facility	3.82	6.49				
	Annual LPA hours for case work	825.2	825.2				
	Budget Standard	216	127				

Appendix Table 5.13: Stage 2 Scenario: Annual Case Work Hours, Hours per Facility, and Budget Standards by Facility Type (Case-carrying LPAs, Program Level)

		AA	FFA	CFH	SFH	FFH	GH+
Stage 2 Scenario (begins Jan 1, 2018)	Annual case work hours	599	3,267	60,306	1,961	18,386	33,274
	N facilities	119	420	11,034	160	3,048	1,152
	N case work hours/facility	5.04	7.78	5.47	12.26	6.03	28.88
	Annual LPA hours for case work	813.4	813.4	813.4	813.4	813.4	813.4
	Budget Standard	161	105	149	66	135	28
		ARF	RCFE+	SRF	ADP	RCFCI/SHN	
	Annual case work hours	54,797	98,133	1,426	10,155	1,544	
	N facilities	5,050	7,497	102	964	53	
	N case work hours/facility	10.85	13.09	14.00	10.53	29.09	
	Annual LPA hours for case work	836.4	836.4	836.4	836.4	836.4	
	Budget Standard	77	64	60	79	29	
		FCCH	CC+				
	Annual case work hours	121,477	95,409				
	N facilities	31,837	14,697				
	N case work hours/facility	3.82	6.49				
	Annual LPA hours for case work	825.2	825.2				
	Budget Standard	216	127				

Appendix Table 5.14: Stage 3 Scenario: Annual Case Work Hours, Hours per Facility, and Budget Standards by Facility Type (Case-carrying LPAs, Program Level)

		AA	FFA	CFH	SFH	FFH	GH+
Stage 3 Scenario (begins Jan 1, 2019)	Annual case work hours	599	3,267	60,306	1,961	18,386	33,274
	N facilities	119	420	11,034	160	3,048	1,152
	N case work hours/facility	5.04	7.78	5.47	12.26	6.03	28.88
	Annual LPA hours for case work	813.4	813.4	813.4	813.4	813.4	813.4
	Budget Standard	161	105	149	66	135	28
		ARF	RCFE+	SRF	ADP	RCFCI/SHN	
	Annual case work hours	69,561	120,024	1,696	12,964	1,740	
	N facilities	5,050	7,497	102	964	53	
	N case work hours/facility	13.78	16.01	16.66	13.44	32.77	
	Annual LPA hours for case work	836.4	836.4	836.4	836.4	836.4	
	Budget Standard	61	52	50	62	26	
		FCCH	CC+				
	Annual case work hours	121,477	95,409				
	N facilities	31,837	14,697				
	N case work hours/facility	3.82	6.49				
	Annual LPA hours for case work	825.2	825.2				
	Budget Standard	216	127				

Appendix Table 5.15: Alternate Scenario: Annual Case Work Hours, Hours per Facility, and Budget Standards by Facility Type (Case-carrying LPAs, Program Level)

Alternate Scenario		AA	FFA	CFH	SFH	FFH	GH+
	Annual case work hours	904	4,296	60,306	2,270	23,872	35,836
	N facilities	119	420	11,034	160	3,048	1,152
	N case work hours/facility	7.59	10.23	5.47	14.19	7.83	31.11
	Annual LPA hours for case work	813.4	813.4	813.4	813.4	813.4	813.4
	Budget Standard	107	80	149	57	104	26
		ARF	RCFE+	SRF	ADP	RCFCI/SHN	
	Annual case work hours	69,561	120,024	1,696	12,964	1,740	
	N facilities	5,050	7,497	102	964	53	
	N case work hours/facility	13.78	16.01	16.66	13.44	32.77	
	Annual LPA hours for case work	836.4	836.4	836.4	836.4	836.4	
	Budget Standard	61	52	50	62	26	
		FCCH	CC+				
	Annual case work hours	121,477	95,409				
	N facilities	31,837	14,697				
	N case work hours/facility	3.82	6.49				
	Annual LPA hours for case work	825.2	825.2				
	Budget Standard	216	127				

Appendix Chapter Six: Centralized Complaint and Information Bureau

Colors in Appendix Table 6.1 delineate the categorization depicted in report Table 6.4. Data source is call disposition data supplied by CCIB.

- Tan: Complaint-related call
- Blue: General call (includes general facility-specific calls)
- Green: Transfers/referrals out
- Pink: Miscellaneous (may include facility-specific calls)
- White: Other/unknown

Appendix Table 6.1: CCIB LPA Call Data: All Bureau Call Dispositions January 20th 2015 to April 30th 2016

Original data labels	Count of call disposition
CBCB Information Request	7,865
Caller Unavailable for Callback	58
CBCB Request	6,244
Complaint - Adult Care	43
Complaint - Child Care	92
Complaint - Children's Residential	24
Complaint - Senior Care	12
Complaint Against CCLD Staff	1
Complaint Follow Up	33
Dead Air	60
Dropped/Disconnected Call	104
File Review	262
General Information - Adult Care	277
General Information - Child Care	194
General Information - Children's Residential	22
General Information - Senior Care	37
Internal Transfer to another Agent	34
Licensee Regulation Questions	101
Long Term Ombudsman (LTO)	3
LPA Unavailable For Call Transfer	8
Non Regulatory	51
Refer to Another Agency/Department	134
Refer to Regional Office	54
Update Information	6
Wrong Number	11
Complaint	26,771
Caller Unavailable for Callback	332
CBCB Request	128
Complaint - Adult Care	4,908
Complaint - Child Care	5,991
Complaint - Children's Residential	2,145

Complaint - Senior Care	1,254
Complaint Against CCLD Staff	33
Complaint Follow Up	2,760
Dead Air	540
Dropped/Disconnected Call	743
File Review	350
General Information - Adult Care	1,196
General Information - Child Care	580
General Information - Children's Residential	118
General Information - Senior Care	399
Internal Transfer to another Agent	1,303
Licensee Regulation Questions	202
Long Term Ombudsman (LTO)	40
LPA Unavailable For Call Transfer	245
Non Regulatory	416
Refer to Another Agency/Department	1,809
Refer to Regional Office	385
Update Information	671
Wrong Number	223
Don't Know/Connect to Agent	3,504
Caller Unavailable for Callback	80
CBCB Request	160
Complaint - Adult Care	133
Complaint - Child Care	156
Complaint - Children's Residential	57
Complaint - Senior Care	35
Complaint Against CCLD Staff	5
Complaint Follow Up	165
Dead Air	537
Dropped/Disconnected Call	99
File Review	90
General Information - Adult Care	545
General Information - Child Care	294
General Information - Children's Residential	42
General Information - Senior Care	95
Internal Transfer to another Agent	227
Licensee Regulation Questions	168
Long Term Ombudsman (LTO)	3
LPA Unavailable For Call Transfer	49
Non Regulatory	68
Refer to Another Agency/Department	208
Refer to Regional Office	197
Update Information	28

Wrong Number	63
File Review	6,247
Caller Unavailable for Callback	113
CBCB Request	83
Complaint - Adult Care	86
Complaint - Child Care	223
Complaint - Children's Residential	57
Complaint - Senior Care	34
Complaint Follow Up	150
Dead Air	55
Dropped/Disconnected Call	118
File Review	4,222
General Information - Adult Care	357
General Information - Child Care	246
General Information - Children's Residential	45
General Information - Senior Care	85
Internal Transfer to another Agent	31
Licensee Regulation Questions	79
Long Term Ombudsman (LTO)	1
LPA Unavailable For Call Transfer	10
Non Regulatory	49
Refer to Another Agency/Department	63
Refer to Regional Office	109
Update Information	6
Wrong Number	25
General Licensing Questions	21,839
Caller Unavailable for Callback	529
CBCB Request	529
Complaint - Adult Care	431
Complaint - Child Care	839
Complaint - Children's Residential	146
Complaint - Senior Care	114
Complaint Against CCLD Staff	5
Complaint Follow Up	249
Dead Air	206
Dropped/Disconnected Call	372
File Review	666
General Information - Adult Care	5,435
General Information - Child Care	5,164
General Information - Children's Residential	358
General Information - Senior Care	1,298
Internal Transfer to another Agent	214
Licensee Regulation Questions	3,341
Long Term Ombudsman (LTO)	7
LPA Unavailable For Call Transfer	60

Non Regulatory	312
Refer to Another Agency/Department	640
Refer to Regional Office	738
Update Information	35
Wrong Number	151
Outbound	17,190
Busy	198
Caller Unavailable for Callback	2,165
CBCB Request	173
Complaint - Adult Care	1,782
Complaint - Child Care	1,332
Complaint - Children's Residential	1,429
Complaint - Senior Care	166
Complaint Against CCLD Staff	11
Complaint Follow Up	4,421
Dead Air	220
Dropped/Disconnected Call	266
Error	50
File Review	65
General Information - Adult Care	175
General Information - Child Care	200
General Information - Children's Residential	32
General Information - Senior Care	108
Internal Transfer to another Agent	27
Invalid Number	260
Licensee Regulation Questions	203
Long Term Ombudsman (LTO)	84
LPA Unavailable For Call Transfer	16
No Answer	228
Non Regulatory	697
Refer to Another Agency/Department	311
Refer to Regional Office	250
Update Information	1,522
Wrong Number	799
Grand Total	83,416